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ABSTRACT

This report reviews the eight-month process of planning for library automation undertaken by the Cleveland State University libraries late in 1984. Following an overview of the planning process, a listing of goals is presented, and six documents developed as a result of the process are provided. "Review of Current Systems" includes descriptions, statistics, and flow charts for the functions of collection development/acquisitions; cataloging; serials check-in and binding; accessing bibliographic and holdings information; circulation; and the special areas of archives, art, audio/music, CurrMats, and films. "User Needs," a description of the development, administration, and analysis of a questionnaire designed to ensure that the needs of the users would be met for access and other services, also includes preliminary report statistics, the user questionnaire, cover letters, and related correspondence. "Specifications for Online Systems" delineates general requirements; system requirements; and requirements for database preparation, acquisitions, cataloging, serials, an online public access catalog, and circulation. In addition, "Interfaces" provides a brief outline of issues requiring attention before a request for proposal is prepared; "Retrospective Conversion" summarizes the work of the Retrospective Conversion Task Force; and "Priorities" describes the library's strategy for implementing an online system. A glossary and a 23-item bibliography are also provided. (KM)

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CLEVELAND STATE UNIVERSITY LIBRARIES

AUTOMATION PLANNING REPORT

PREPARED BY GEORGE LUPONE

CLEVELAND STATE UNIVERSITY LIBRARIES

CLEVELAND, OHIO

1986

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OVERVIEW

PLANNING FOR ONLINE SYSTEMS

OVERVIEW

INTRODUCTION

Late in 1984, Cleveland State University Libraries embarked upon planning for library automation. A small group was appointed to coordinate the automation efforts. The first order of business was to learn more about the current state of library automation through reading, site visits, attending seminars, and meetings with consultants. Demonstrations and presentations were arranged for the entire library staff. As the core group completed its initial assignments of becoming educated in library automation and of introducing automation to the general staff, the library directorship was vacated.

A challenge confronting the Interim Director was moving forward with automation planning without committing a new library director to any particular course of action. This objective was a principle factor in deciding how automation planning would be carried out. An initial step would be to document the current work of the library staff. Next we would find out what end users and the library staff expected of library automation. The end result would be a statement of library automation needs to present to a new Director of Libraries. The statement of needs would contain specifications which could be readily converted into a request for proposal, if that were a preferred course of action.

SETTING UP

The Interim Director appointed an Automation Planning Librarian to prepare a report analyzing the automation needs of Cleveland State University Libraries. The Automation Planning Librarian was a member of the CSU library staff and was relieved of all regular duties for a six-month period to concentrate on automation planning. Great care was taken at the onset to shape the project and to determine the reporting structures and means of carrying out the work. The Automation Planning Librarian reported to the Interim Director and through his office was able to assign work to appropriate library staff. The Automation Planning Librarian met weekly with the Assistant Directors who served as a steering committee for the project. These arrangements, as well as the outline of the final report, were written in the Automation Planning Librarian's job description.

With the Assistant Directors, the Automation Planning Librarian prepared a mission statement. Then the objectives specified in the Automation Planning Librarian's job description were defined more fully. Time lines were developed for some projects. The Interim Director formally notified the library staff, the University's Computer Services Department, and the Library/Instructional Media Services Committee of Faculty Council about the automation planning project. The Automation Planning Librarian met with these groups as the project began and also throughout the course of the project. The Automation Planning Librarian also visited with the planning/systems officers at several local universities which were selecting or implementing online systems.

GENERAL APPROACH

There was a commitment from the onset to involve the entire library staff in planning for automation. There was a firm belief that the staff, being the most familiar with the day-to-day operations of the library, could best express automation needs. Secondly, there was the need to raise the level of awareness about automation for some staff members. While virtually all staff members were comfortable with the further automating of library functions, not everyone was up-to-date on the options available to libraries in the '80's.

There was a three-pronged approach to staff participation in library automation planning. The first exercise was the Review of Current Systems (ROCS). The library was broken into six areas, according to function. The staff then described the workflow in both flow charts and prose. The second area of participation was brainstorming to find out the staff's expectations of online systems. Twenty-three brainstorming sessions were conducted. All but one staff member participated in the sessions. The third area of participation was the development and review of specifications for online systems. The specifications were developed by small groups, then reviewed by the whole staff.

Two aspects of automation planning were carried out by task forces. The User Needs Task Force developed, distributed, and analyzed a questionnaire to find out what library users expected of online systems. The Retrospective Conversion Task Force identified library materials which were not yet in machine readable form, recommended priorities for converting these materials, and identified resources to carry out the work. The remaining areas of planning were treated as staff assignments to the Automation Planning Librarian. These areas of planning included determining the relationship of an online system to the university's computer systems and recommending the priority order of bringing up subsystems.

REVIEW OF CURRENT SYSTEMS

For the purpose of describing present library operations, the administration broke library operations into six areas: Acquisitions, Cataloging, Serials, Accessing Bibliographic and Holdings Information, Circulation, and Special Areas. Librarians with line responsibilities were appointed as group leaders. The staff was assigned to groups according to their jobs. Some staff were assigned to two groups because their jobs overlapped functional boundaries. The Automation Planning Librarian prepared a planning document which included the goal and purpose, the products which were expected, and the process for conducting the review. The goal of the review was to document current systems in prose and flow charts. The purpose was to make us all consciously aware of the tasks we performed as we started to plan for automation. The review was intended to be a point of departure for automation planning.

The Automation Planning Librarian met with each group before the analysis began. He also met regularly with the ROCS group leaders as the project progressed. These meetings served to clarify issues and to support one another through difficult moments. Although group leaders chose different modi operandi, there were a few ground rules which could not be violated. One was that each staff member had the right and duty to describe his/her own work as it was actually carried out and not as an ideal process. To begin the review, each group met to outline the general flow of work. Group leaders were then responsible for filling in the details. Some group leaders gathered information by interviewing staff; others assigned groups to write the specifics; others worked in committee. At the end, each member of the group had to verify that the results accurately reflected the workflow.

From planning to conclusion, the review took about ten weeks to complete, three weeks longer than anticipated. The results were 100-word summaries of each function, a more detailed (10-page) description of each function, flow charts, and lists of statistics and forms. Some library procedures were documented for the first time. Groups shared their summaries with each other, and most staff learned more about other areas of the library.

NEEDS OF LIBRARY STAFF

Another purpose of the planning process was to find out what the library staff expected and/or desired in online systems. It was important not only to elicit the good ideas of the library staff, but also to assure that all staff had the opportunity to contribute to automation planning from the very beginning. It was decided that the end product of the planning effort would be specifications for online systems.

As we embarked upon this planning phase, the Automation Planning Librarian gathered and distributed reading material. A few requests for proposal, articles, and vendor information were made available to the library staff. The systems librarian from a neighboring university demonstrated VTLS. A planning document was prepared and distributed to the staff. The Automation Planning Librarian met with the library staff to discuss the process and to answer questions.

The goal of the project was to determine and list what was essential and/or desirable in online systems. The list of features, really specifications, could be used to evaluate various systems. In the planning document, five steps were outlined for meeting our goal.

First, the broad functional areas would be divided into subfunctions. Then groups would be appointed to brainstorm, listing features they wanted to find in an online system. Next, the ideas from the brainstorming sessions would be ranked into a priority order. The fourth step would be the actual writing of the specifications. The last step would be an administrative review of the specifications. The whole process took ten weeks, and was completed by the target date.

Subfunctions

The Assistant Directors met to discuss functional organization. It was decided to plan for automation in terms of five functions: Acquisitions, Cataloging, Serials, Accessing Bibliographic and Holdings Information, and Circulation. The sixth group, Special Areas, described in the Review of Current Systems, could be described within the content of the other five functions. Staff was assigned to groups and leaders were appointed. The groups met to break the functions into subfunctions of a "discussable" size. For example, the Circulation group came up with the following subfunctions: reserve, overdues, charge/discharge/renewals, holds, and borrower registration. In all, twenty-one subfunctions were identified. The Assistant Directors then called for volunteers to participate in brainstorming sessions on the subfunctions. Assignments to sessions were also made. Most staff participated in two to three sessions.

Brainstorming

Brainstorming was the chosen technique for staff participation in this stage of planning. As a means of obtaining input, brainstorming proved to be a good mechanism. Many ideas were put forward in a relatively short time frame. Staff from different parts of the library and at different levels mixed together to present varied views. Those with little automation experience learned from the more seasoned. And those who were familiar with automation gained from the perspectives offered by the inexperienced.

In all, twenty-three brainstorming sessions were held. The library staff was enthusiastic and came up with a total of 1,029 ideas. Token awards were given to the group which came up with the most ideas, the group with the wildest ideas, etc.

Ranking

Whereas brainstorming sessions provide a lot of ideas in a short period of time, some impractical ideas are put forth. The next step, then, was to evaluate the features. Two weeks after the brainstorming sessions, the groups reassembled to rank the ideas. A leader was assigned for each group. Based on the planning document, the ideas were to be assigned to one of three categories: basic requirement, desirable, or not considered. The planning document outlined methods which might be followed to achieve the goal, but the session leader was ultimately responsible for choosing the method. Most groups were able to complete their work within a few hours.

Specifications

The specifications for online systems turned out to be a seventy-page document listing features which the library expected to find in an online system. The group leaders began to meet weekly several months before the actual writing of the specifications began. These meetings were intended to decide what the specifications would look like and how we would go about writing them.

Several false starts were made before it became clear what the specifications should look like. There were general discussions among the group leaders and with the AD's. The Automation Planning Librarian wrote both guidelines and some sample specifications. There was more discussion. As an exercise, group leaders wrote sample specifications for a small part of their function. We aimed for consistency, but each sample was very different from all the others! Learning from the exercise, we set down more specific guidelines. We decided to prepare an outline for the specifications. In some cases, the broad topics of the outline matched the subfunctions identified for the brainstorming groups. It was decided that the specifications would include both "capabilities" and "specific features." Capabilities were to be the broader concepts and specific features were to be requirements which would be necessary to fulfill the capability. Basic features were to be distinguished from desirable features. Complete sentences were to be used, and only one concept could be expressed per capability. The language was to be sufficiently clear and non-technical so that most library staff could understand the concepts.

Group leaders selected library staff members to assist in the writing of the specifications. The groups drew information from the Review of Current Systems, the ranked ideas from the brainstorming sessions, RFP's from two nearby libraries, information from vendors, and personal knowledge. Each group worked differently. Some wrote the specifications in committee, some assigned sections to various staff members, some were written by the leader based on input from the staff. Writing the specifications took about two weeks and became the primary occupation of many staff members during that period.

Administrative Review

The last step in preparing the specifications was an administrative review. The review was a library-wide process. Each division head gathered comments about the specifications from staff members. Whenever possible, criticism had to be in the form of exact rewordings of the document. Division heads then evaluated the suggestions for presentation to the Assistant Directors. With input from the divisions, the Assistant Directors made changes to the specifications.

Next, the Automation Planning Librarian edited the specifications with two purposes in mind. The first was to standardize terminology as much as possible. The second purpose was to identify anomalies and ambiguities and refer them back to group leaders.

Group leaders responded to the questions posed by the Automation Planning Librarian and reworded portions of the document. A few sections were substantially reorganized. In one case, the Automation Planning Librarian merged sections dealing with the same topic from two different chapters. Using word processing programs, two able typists produced yet another draft. With all the substantive changes being made, a staff member proofread this final draft. A few more changes were made, and the Specifications for Online Systems was presented to the Interim Director.

USER NEEDS

The Interim Director appointed a task force of four library staff members to explore user needs in relation to automation planning. The Automation Planning Librarian created a planning document and met with the task force to answer questions.

During winter quarter of 1985/86 a questionnaire was sent to the faculty and to a sample of students, staff, and non-university users of the University Libraries. The purpose of the survey was to ensure that the needs of users would be known for planning for library automation in order to improve access and services.

The questionnaire sought information on what present record systems users felt were difficult to use, how users approached finding specific types of materials in the Libraries' collection, how experienced users were with online library systems in general, and what they felt was the order of priority for putting online three major systems: the catalog; serials, including periodicals; and circulation. The response rates showed a genuine interest by our users in having some input into the planning process.

The User Needs Task Force began planning the survey by conducting a literature search to learn about the experience of other academic libraries. It was found that the University of Cincinnati's questionnaire, used in 1981 to gather opinions on automation needs from their library users, was the best model for our own survey. The time frame of three months for completion of the survey and report was mandated, though an extension of six weeks became possible for preparation of the final report.

The task force determined that questionnaires should be sent to all faculty members, to a 15% sample of the more than 16,000 students enrolled winter quarter, 25% of the university staff, 100% of the library staff, and 15% of our non-university borrowers.

Computer printed cheshire labels were requested from the Academic Affairs Office (for faculty and Special Studies instructors), Personnel Office (staff, both professional and classified, and part-time faculty), and Registrar's Office (students), all of whom had programs for such sampling available. Non-university borrowers were selected by picking every 15th registration card in an alphabetic file (a miscalculation, discovered too late, which provided an actual sample of about 7%). The latter names were then typed on labels and zip code sorted by Circulation student assistants.

After several revisions of our first draft, based on comments and suggestions from the Automation Planning Librarian, the Interim Director, and the Assistant Directors, a preliminary copy was given to each member of the Library/IMS Committee as a pre-test. A member of the committee volunteered to meet with the task force to make suggestions for improving the format of the instrument. After the meeting the task force completely revised the format to incorporate most suggestions by removing several somewhat redundant questions, reorganizing the questions to give the total questionnaire the appearance of being shorter, and changing the choice of answers from verbal categories to numeric scales to allow for easy computer manipulation of the data.

The questionnaire was then prepared for printing. A cover letter for faculty copies was written by the Provost. To increase participation among students who received questionnaires, the task force wrote a cover letter offering those who replied a chance to win one prize of a $25 gift certificate at the campus bookstore. This excellent idea, contributed by a committee member, is credited with gaining us a sizeable sample of student responses.

Advance arrangements were made with the Mail Room supervisor. It was necessary for the labeling and stuffing of the envelopes to be contracted out. Faculty and staff questionnaires were to be sent by campus mail in white envelopes, with instructions to return them by campus mail, folded as self-mailers to the return address supplied. Student and non-university questionnaires were to be sent by U.S. mail, with a return reply pre-stamped envelope enclosed. Library staff questionnaires were sent by library mail.

When returns were complete, the Academic Consulting staff of Computer Services wrote the program statements to use SAS to produce frequency counts and cross-tabulations. Input from the 699 responses was done by the Reference Assistant.

RETROSPECTIVE CONVERSION

The Interim Director appointed the Automation Planning Librarian to be chair of the Retrospective Conversion Task Force. The charge was to prepare an all-inclusive list of library materials which were not in machine readable form, identify categories of materials which should be in machine readable form, and provide information on how the conversion work could be carried out.

The Assistant Directors were asked to request their staff to list materials that were not processed through OCLC. Because CSU was a founding member of OCLC and because of an early retrospective conversion project for monographs, it was thought that there was little uncataloged material in the Library. But, forty-three categories of uncataloged or unconverted materials were uncovered. These ranged from a few dozen pieces of software to 4,000,000 pieces in the Cleveland Press collection. The Task Force then set out to assign a priority to each category. Two categories were given the highest priority because conversion work on them was already under way. These were government document microfiche and retrospective periodicals. Next, the Task Force separated out other priority materials. This group represented categories of materials which were mostly converted to machine readable form. For example, most sound recordings were in the database, but the first 2,500 added to the collection were not. Most of these materials were accessible in the card catalogs and should be available in an online catalog at the onset.

The next priority were uncataloged collections of special interest. It would be desirable to add these materials to the database at some point, but it would not be essential that they be available in an online catalog immediately. The final list was of materials which should not be converted to machine readable form.

To complete its charge, the Retrospective Conversion Task Force recommended how the conversion could be achieved. Given the scope of the conversion, it was determined that most of the work could be done in-house without hiring additional staff. Timelines were established for completing the work. A grant proposal would be prepared to make accessible certain special collections of local interest. Cataloging of a major microform set would be purchased, when available. Retrospective conversion was then made a line assignment and the Task Force was dissolved.

INTERFACES

The interface between a purchased, integrated library system and available university systems was a concern. The university's patron database and accounting/billing system would continue to be essential to the Libraries, even after the implementation of an online library system. Other concerns were compatability with the university's telecommunications system, the location of the processor, issues concerning personnel to support online systems, and the merit of application software versus a turnkey system.

The Automation Planning Librarian met with Computer Services personnel during the early planning stages. It was decided that it would be best to postpone deciding upon the issues until after the Library completed its specifications. Instead, the issues concerning interfacing were identified and listed for discussion at a later time.

PRIORITIES

As the planning project neared completion, the Automation Planning Librarian drafted a statement concerning priorities for online systems. The obsolescence of OCLC's Serials Control Subsystem and the age of CSU's circulation system equipment were driving factors in setting priorities. It was essential to solve the serials and circulation problems. Otherwise, a public access catalog would be the focus of automation efforts.

CONCLUSION

Six months were set aside for automation planning. Two additional months were required to complete the assignment. The major documents resulting from the planning were the Review of Current Systems, Specifications for Online Systems, and CSU User Needs Questionnaire, Final Report. In addition, the staff became more aware of the issues involved in library automation and, more specifically, of the needs of the CSU community in regard to automation. Having completed this stage of planning, the Libraries are prepared to select and implement an online system.

GOALS

ONLINE SYSTEMS

GOALS

The CSU Libraries plans to introduce online systems in order to assist in its mission of supporting the instructional, research, cultural, and public service programs of the University by providing bibliographically related services to students, faculty, and staff. Online systems will:

- provide improved access to the Libraries' collections through sophisticated search strategies.
- integrate the detailed records of the Libraries' holdings and make them available in-house and through dial access.
- provide efficient systems for acquiring, cataloging, retrieving, and circulating library materials.
- aid in managing collection resources through user reports, timely budget reports, and other collection analysis aids.
- enhance cooperative arrangements with other libraries to improve resource sharing.

GFL:mhp 12/85

REVIEW OF CURRENT SYSTEMS

CLEVELAND STATE UNIVERSITY LIBRARIES

February 1986

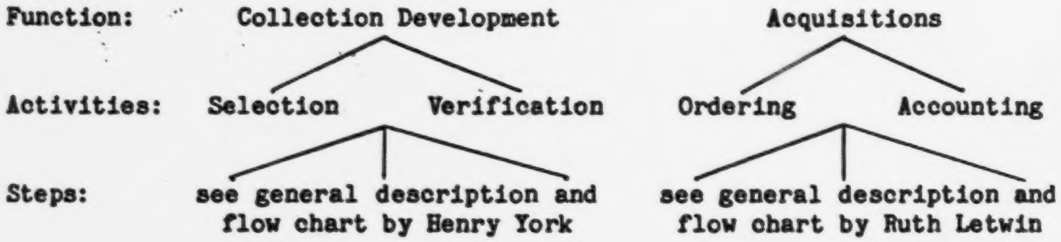
COLLECTION DEVELOPMENT/ACQUISITIONS

Collection Development

This section of the report covers the Collection Development segment of the Collection Development/Acquisitions function.

Function Summary

The function covered here includes 1) the selection and 2) the verification of materials for adding to the library collections. The next sections cover the ordering and payment functions which follow in sequence the activities discussed here. This relationship can be diagrammed in this manner:


Function:
Collection Development
Acquisitions
Activities:
Selection
Verification
Ordering
Accounting
Steps:
see general description and flow chart by Henry York
see general description and flow chart by Ruth Letwin

The Collection Development function involves important intellectual judgements and interactions with the faculty. The emphasis here, however, will be on the implementation of the decision to acquire materials, typically by purchase but also through gifts and the depository system for documents.

General Description

The Collection Development function begins with the realization that materials should be added to the collection in order to improve its ability to respond to the research and study needs of the University. Through a varied process, which sometimes involves considerable bibliographic checking and/or consultation with the faculty, specific titles are selected by the bibliographers.

The following description traces a typical purchase, a book, through the verification process as outlined in the flow chart. If funds permit (or are anticipated), the requests on MPR's or on brochures, advertisements, lists, Choice cards, etc., are sent by the selectors with a filled in yellow Collection Development action slip for verification. They are date-stamped, noted for the notify/hold procedure, counted, and typed on MPR's as needed. OCLC is checked to determine CSU ownership. Requests owned are searched to determine if the title can be located or otherwise accounted for. If indicated by the faculty, the notify/hold procedure is followed. Titles not owned are checked against the New Books Processing List to remove requests already on-order. The remainder are checked in a variety of tools, such as BIP, to determine in-print status, price, etc. At this point the requests are counted for statistics and returned to the selectors as "verified". The blue Collection Development Report on Requests slip is attached to indicate the status of the requests. Throughout the process, especially on OCLC, the information on the MPR is checked and expanded or corrected as necessary.

The selector then prioritizes the requests in hand, considers the availability of funds, and sends the request to be ordered at that time for vendoring. The vendor is determined and a vendor number and abbreviation are assigned. The orders are batched each week, rechecked in the New Books Processing List. Titles on order are returned to the selectors. The remaining MPR's have progressed through the entire verification process and are passed on to the Monographs Acquisitions Unit for acquisition.

Variations to the Above Outline

1) *Choice* Cards (containing book reviews) are sorted by subject and distributed to the selectors who return for verification titles wanted.

2) Out-of-print titles may be further searched with the OP procedure.

3) Approval plan books selected are checked in OCLC and the New Books Processing List. Those not in CSU holdings are processed as above.

4) Replacement forms for lost books are received from Circulation, Monographs, ILL; sorted and distributed to selectors. Wanted titles are verified with the availability of later editions an important factor.

5) Missing serials are reported by Serials on the yellow Missing Serials cards. These are checked for prices and availability and MPR's typed. Issues are ordered or put through the OP Process for Serials.

6) Gifts are reviewed by selectors. Wanted titles are checked for holdings in CSU and shelf checked.

7) Some specialized materials (films, tapes, records, scores, slides) are verified by the selector or assistant before merger into the above.

8) Rush orders and orders initialed by the selectors for immediate ordering are not returned to the selectors for review if they are acceptable for ordering.

9) Depository documents bypass the Verification Unit completely. Monographs and Serials Divisions are responsible for noting duplicates and other anomolies.

10) Special Collections materials require several additional minor processing steps as outlined in the procedure for them.

Serials

Serials verification deals with requests for new standing orders for classed serials, new periodical subscriptions, and back files (classed and unclassed). Although the verification process follows the same general pattern as outlined above, work with serials requires certain distinct tools and records for ascertaining CSU holdings and necessary order information such as price and availability. Important among these are the classed and unclassed serials Kardexes, the Serials Holdings List, the subscription and standing order payment records, Ulrich's and other reference sources, vendor and publisher catalogs. OCLC, the card catalog, the serials section of the New Books Processing List and other sources also used for monographs are also needed. The possibility of title changes is a source of complexity in the bibliographic verification of serials. For replacements and backfile orders for monographic series, each title in the series must be checked in addition to the series title. Serials verification is done by the Serials Division.

Monographs Acquisitions Unit

The verified MPR's entering the Monographs Acquisitions Unit fall into three major categories: regular orders, confirming orders (in-house), and rush orders. Rush orders are handled manually daily and then fed into the stream of regular orders. All orders are assigned unit order numbers within the seven million ordering sequence assigned to the Unit, batched and totaled, and then typed onto OCR input forms. The purchase system is cyclical, a new purchase run starting each Monday, going through a series of edits and checks, producing a purchase printout and computer produced orders on Friday. After being checked for money totals and errors, the orders are matched with the MPR's. The orange finance copy and the pink temporary catalog card copy of the order is then stapled between the white and green copies of the MPR. The white, green, and blue copies of the order are then mailed out to the vendor indicated. Orders requiring advance payment or special accompanying correspondence are given directly to the supervisor for handling. The confirming orders are matched up with the materials and placed on a truck for check-in. Orders needing to be deleted from this week's run and resubmitted are given to the supervisor for handling. The MPR's, along with their accompanying copies of the orders, are filed in the open order files alphabetically by vendor, then numerically by purchase order number to await receipt of materials.

When materials are received, the orders are pulled and checked against the materials. If correct, the items are checked in. The receipt date is stamped on the white and green copies of the MPR and the orange and pink copies of the order. The white copy of the MPR is used as the input document for updating. The orange copy of the order is used to approve payment by attaching it to the appropriate invoice and passing it to the Library Accountant. The green copies of the MPR's and the pink copies of the orders are sent on in the materials. Various types of materials are ordered and received, such as slides, microforms, videocassettes, kits, records, and films, along with books. Many of these materials have special handling requirements such as previews, leasing agreements to have hardled, signed, and returned, or just being pulled out of the mainstream of things and sent to special areas. If the materials received are incorrect, either a self-issuing credit or a letter addressing the problem is composed and returned to the vendor along with the materials.

If the materials being ordered are cancelled by the vendor/publisher, the white and green copies of the MPR's are marked accordingly. The orange and pink copies of the orders are discarded. The white copies of the MPR's are used to update and the green copies are returned to the selectors who initiated the requests. If CSU cancels the order, a form letter is typed and mailed to the vendor/publisher, but the internal processing is the same. If the item being cancelled can be obtained from another source, the green copy of the MPR is returned to verification to be revendored and entered back in the order system.

Updates to the purchase system are weekly, consisting of items received, circulated, cancelled, or delated.

Other procedures handled within this Unit: approval program (orders which enter the system as confirming orders), hold and notify procedures for orders still on order or in process, series/serials white slip decision procedure, and the typing, mailing, and monitoring of the out-of-print titles to be searched in the OP market (orders which also enter the system as confirming orders).

Serials Acquisitions Unit

The main difference between the MPR's entering Monographs and Serials is that the serials MPR's are not yet verified. The verification process is done by the Serials Acquisitions Supervisor and the MPR's are then returned to the initiating selector for his/her signature. They are then returned to Serials Acquisitions for ordering.

The backfile orders follow the same procedure as the Monographs Acquisitions orders. They are assigned purchase order numbers within the nine million sequence and are submitted weekly along with the Monographs orders. The computer-generated orders and the MPR's are returned to the Serials Acquisitions to be matched and mailed out.

The standing orders and subscription orders are handled manually. Standing orders are assigned purchase orders within the 9,800,000 sequence and the subscription orders are assigned numbers with the 9,460,000 series. After being assigned a purchase order number and vendor, these orders are manually typed on the CSU Library purchase order. Two labels are also typed for each order and given to the Accountant to update his files. The first two copies of the order are sent to the vendor, the second two copies are sent along with the labels to the Accountant, the pink copy is filed numerically by purchase order number in the appropriate on-order file (standing order or subscription), and the yellow copy is discarded.

The payment records for these orders are made by photocopying the purchase order and then filing it alphabetically by title either in the blue binders (standing orders) or the black binders (subscriptions). Yellow sheets listing the new titles ordered are filled out and placed in the Kardex for use as temporary Kardex cards.

Serials receives materials from four sources: standing orders, gifts, depository, and unsolicited/unestablished sources. When materials are received against a standing order, they are first looked up in the payment record (blue standing order binders). After locating the correct order, the payment record is updated as follows:

1. If both the materials and the invoices have been received, the volume number or year of volume, receipt date, "pd." marked along with the invoice number and date, and the amount of the payment are recorded.

2. If just the materials are received, the volume number or the year of the volume is recorded along with the receipt date.

3. If the invoice alone is received, the volume being paid for, date of payment, invoice number and date, and amount paid noted.

The materials are then taken to the added volume shelf to be checked in the Kardex. The invoices are forwarded to the Accountant.

When subscription invoices are received, the subscription payment record (black binder) is updated with the date of payment, invoice number (if any), duration of subscription, and the amount being paid. The purchase order and fund number are noted on the invoice and passed to the Accountant for payment.

The Serials Acquisitions Unit keeps daily statistics on all invoices passed on to Library Accounting.

Library Accounting

Library Accounting receives invoices from three sources: the Monographs Acquisitions Unit, Serials Acquisitions Unit, and the bindery personnel. The original and the third copy of each standing order, subscription, and monograph invoice is handled in the same way. The original is stamped with a disbursement stamp authorizing the account to be charged, the money amount to be expended, invoice number, invoice date, due date, company account number if requested, and the accountant's initials. The third copy is marked REMITTANCE and sent along with the original to Accounts Payable for payment. The second copy of the invoice is kept by Library Accounting for updating as described below:

1. Standing Order/Subscription
    a. Invoice copies are separated by fund number.
    b. The appropriate fund folders are then pulled and updated.
    c. The purchase order folder for each purchase order listed on the invoice is pulled and updated. The copy is then filed in the purchase order folder.
    d. The funds are updated weekly by OCR input using lump sum amounts to be posted against the individual funds.

2. Serial Backfile/Monographs
    a. The vendor number, P.O. number, invoice number, invoice date, and amount to be expended are circled on each invoice.

b. A group of these invoices are batched, totaled, and typed onto OCR input forms. This input updates the already existing purchase order record to reflect the invoice number, invoice date, and the amount actually expended against each purchase order.

The Purchasing Department sends the bindery invoices over for approval. They are approved by the bindery personnel, the Division Head, and the Accountant, then returned to Purchasing for processing. One copy of the invoice is retained in the Library for use in updating the budget. When Purchasing passes the invoice to Controllers for payment, a copy of the invoice is sent to the Library. This copy is retained in the account folder and the update copy is discarded.

Other procedures handled by Library Accounting: payments made by disbursement, checks received as refunds for cancelled advance payment orders, checks received from computer searches, and creating the budget files at the beginning of each fiscal year.

6) COLLECTION DEVELOPMENT STATISTICS

REPORT: Fiscal Year 1984-85

I. ORDERS

1. TOTAL ITEMS SORTED & DISTRIBUTED:	14,413
2. TOTAL REQUESTS RECEIVED:	12,927
3. TOTAL REQUESTS VERIFIED:	13,055
4. TOTAL REQUESTS VENDORED & SENT TO ORDER UNIT:	6,653

II. PERIODICAL REPLACEMENTS SENT TO SERIALS:	296
III. GIFT BOOKS PROCESSED & SENT TO TECHNICAL SERVICES	2,305

IV. DOCUMENTS RECEIVED:

1. PERIODICALS	1,522
2. SERIALS	2,366
3. MONOGRAPHS	691
4. HEARINGS	3,540
5. PAMPHLETS	679
6. MICROFICHE	26,410
7. MAPS	1,766
8. OTHER	194
TOTAL	37,168

V. MATERIALS ADDED (NOT PROCESSED IN TECHNICAL SERVICES)

1. ART SLIDES	58,009
2. PAMPHLETS	8,801
3. ANNUAL REPORTS	21,068
4. CURRICULUM MATERIALS	7,712
5. UNCATALOGUED AUDIO	2,451
6. MAPS	44,087
7. GPO MICHROFICHE (STATISTICS DISCONTINUED	36,024
8. HEARINGS 5/1/85)	12,242
TOTAL	190,394

STATISTICS KEPT

ACCOUNTING

None

BOOK ORDER UNIT

Number of materials checked in monthly
(1984/85 fiscal year - 628 monthly average) = 7536/yr

Number of materials ordered monthly
(1984/85 fiscal year - 625 monthly average) = 7500/yr

Number and description of non-book materials received monthly - 1984/85 fiscal year

180	records	(15 monthly average)
23	filmstrips	(2 monthly average)
92	cassettes	(8 monthly average)
10	films	(less than 1 monthly average)
1163	slides	(97 monthly average)
30	videocassettes	(2.5 monthly average)
6	posters	(.5 monthly average)
540	microfiche	(45 monthly average)
1	computer diskette	
1	microfilm	

SERIALS

Number of materials ordered monthly
(1984/85 fiscal year - 55 monthly average) = 660/yr

Number of invoices passed daily
(1984/85 fiscal year - 12 daily average) = 3,132/yr

Number of purchase orders paid against monthly
(1984/85 fiscal year - 548 monthly average) = 6576/yr

FORMS LISTINGS

Accounting

1. Purple OCR Input sheet
2. Orange OCR Input sheet
3. Invoice Batch Slips
4. Computer Memos to run programs

Book Order Unit

1. MPR
2. Order Forms
3. Order OCR Input sheet
4. Update OCR Input sheet
5. Claim letter
6. OCR Correction sheet
7. Purchase Order Batch Slips
8. Material Preview Form
9. Serials White Slip Decision slip
10. Special Handling Slip
11. Special Loan Form
12. Cancellation Notification Slip
13. Disbursement Forms

Serials

1. MPR
2. Kardex Forms
3. Call to Bind slips
4. Missing Serials slip
5. Discontinued Serials slip (Ceased & Cancelled)
6. Reference slip
7. Serials Master File Update
8. Monographs slip
9. Retention of Monographs slip
10. Periodical Routing slip
11. Standing Order Routing slip
12. Sample Issue slip
13. Unsolicited Serials slip
14. Discard cards
15. In Process cards
16. Claim form
17. Labels
18. Bindery Slip
19. Disbursement Forms

4) List of forms, tools, etc. needed to carry out the function:

Summary budget printouts
Material Purchase Request (MPR) form
OCLC terminals
New Book Processing List
Serials Holdings List
Circulation Printout
Missing/Lost printout
Vendor book
Sundry bibliographic tools

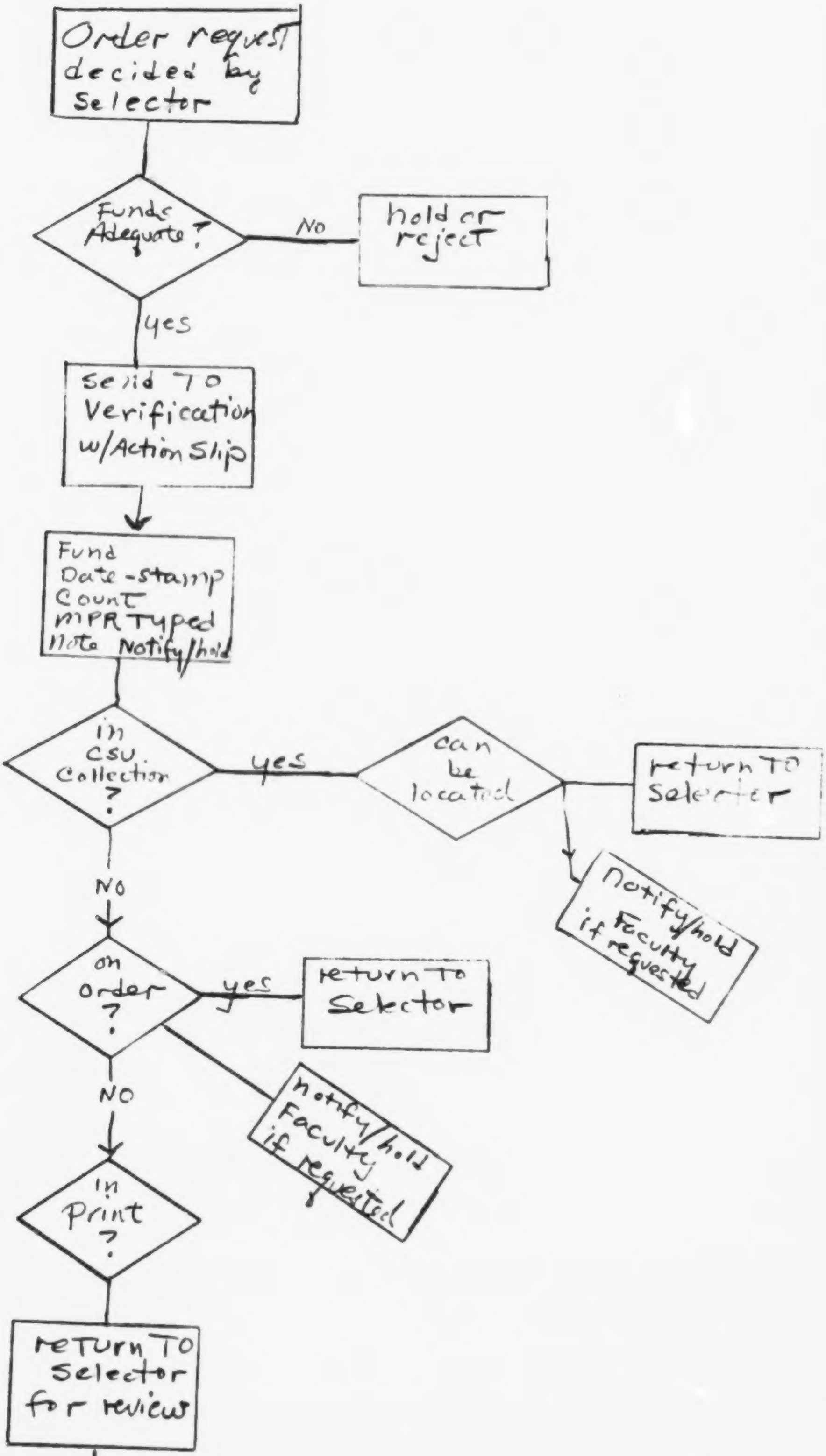
Serials Kardeses (classified & unclassified)
Subscription and standing order binders
Missing Serials slip (yellow)
Collection Development Action slip (yellow)
Collection Development Report on Requests slip (blue)
Notify/Hold attachments
Special Handling/Special Collections slips

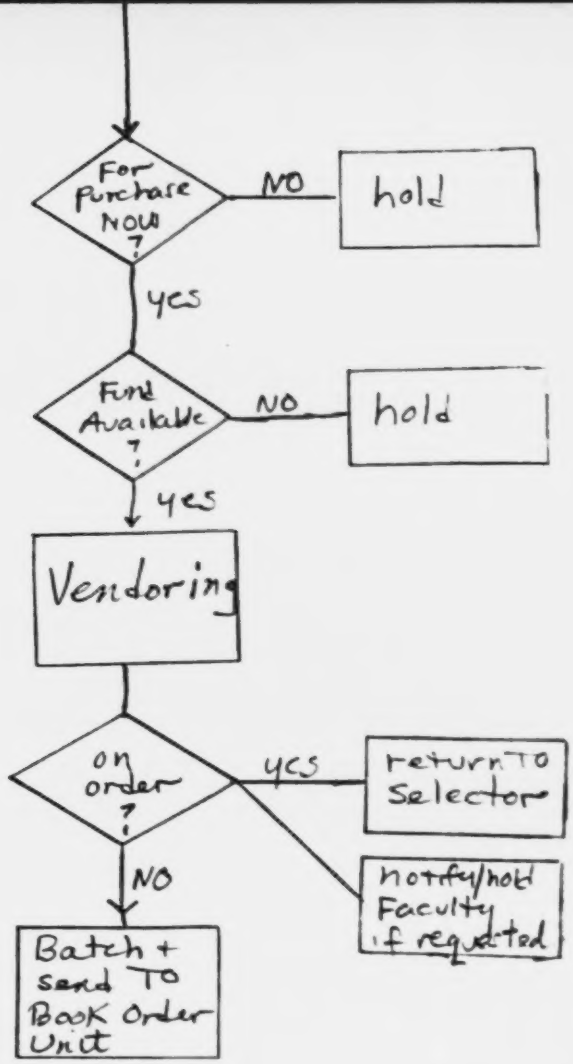
5) List of procedures which relate to function:

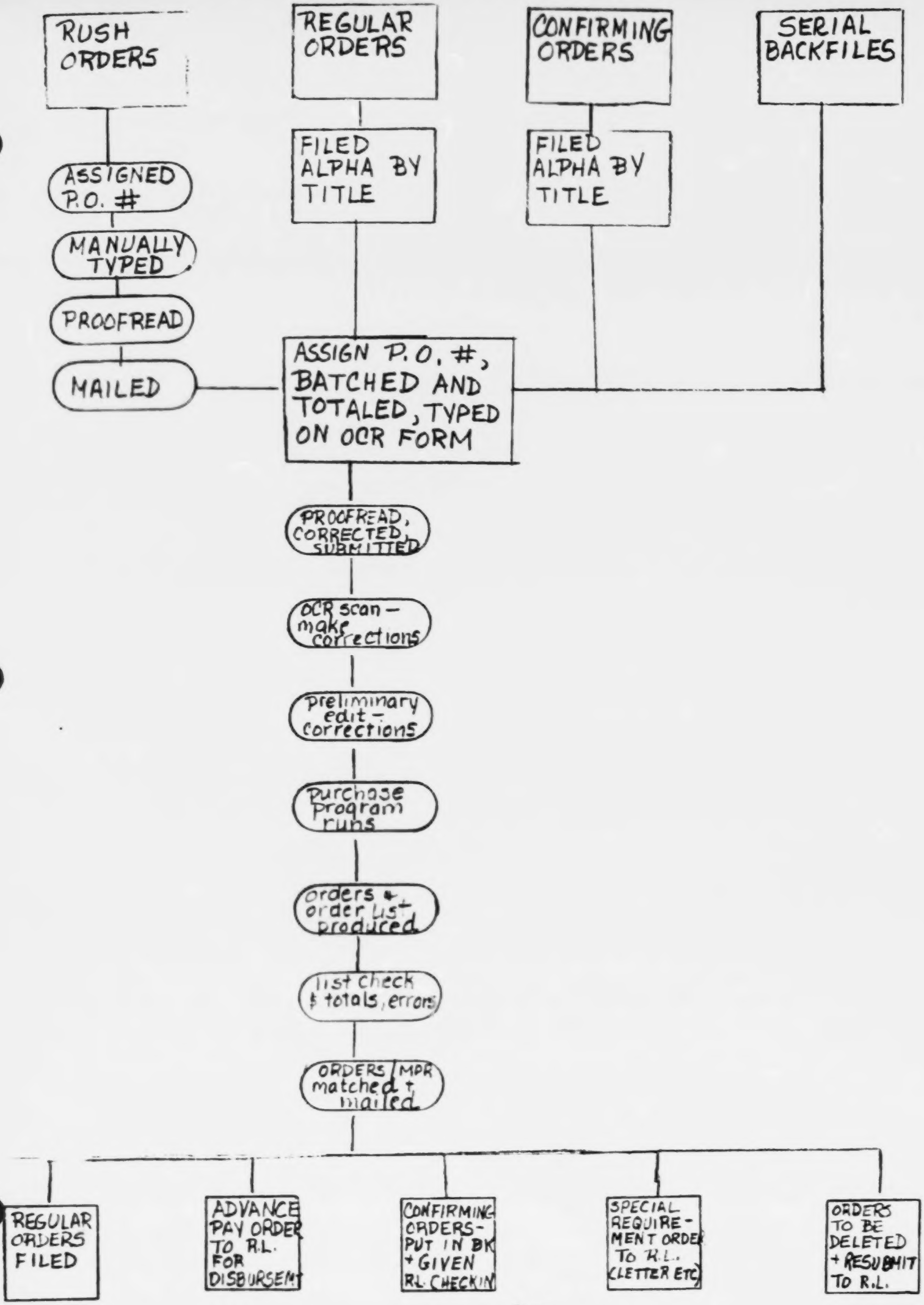
1. Baker & Taylor White Slip Verification
2. Approval Plan Procedure
3. Choice Cards Verification Procedure
4. Holds & Notification Procedure
5. Search Procedure (location of titles)
6. Procedure for Checking New Book Processing Control List
7. Procedure for Completing MPRs for Periodical Replacements
8. Vendoring Systems
9. Procedures for Processing Gift Books
10. Procedures for Handling Orders
11. Rush Procedures
12. Book Order Procedures
13. Standard Procedures for Typing MPRs
14. Procedures for Ordering Missing & Lost Books
15. Special Collections Procedure
16. Out-of-Print Search Procedures

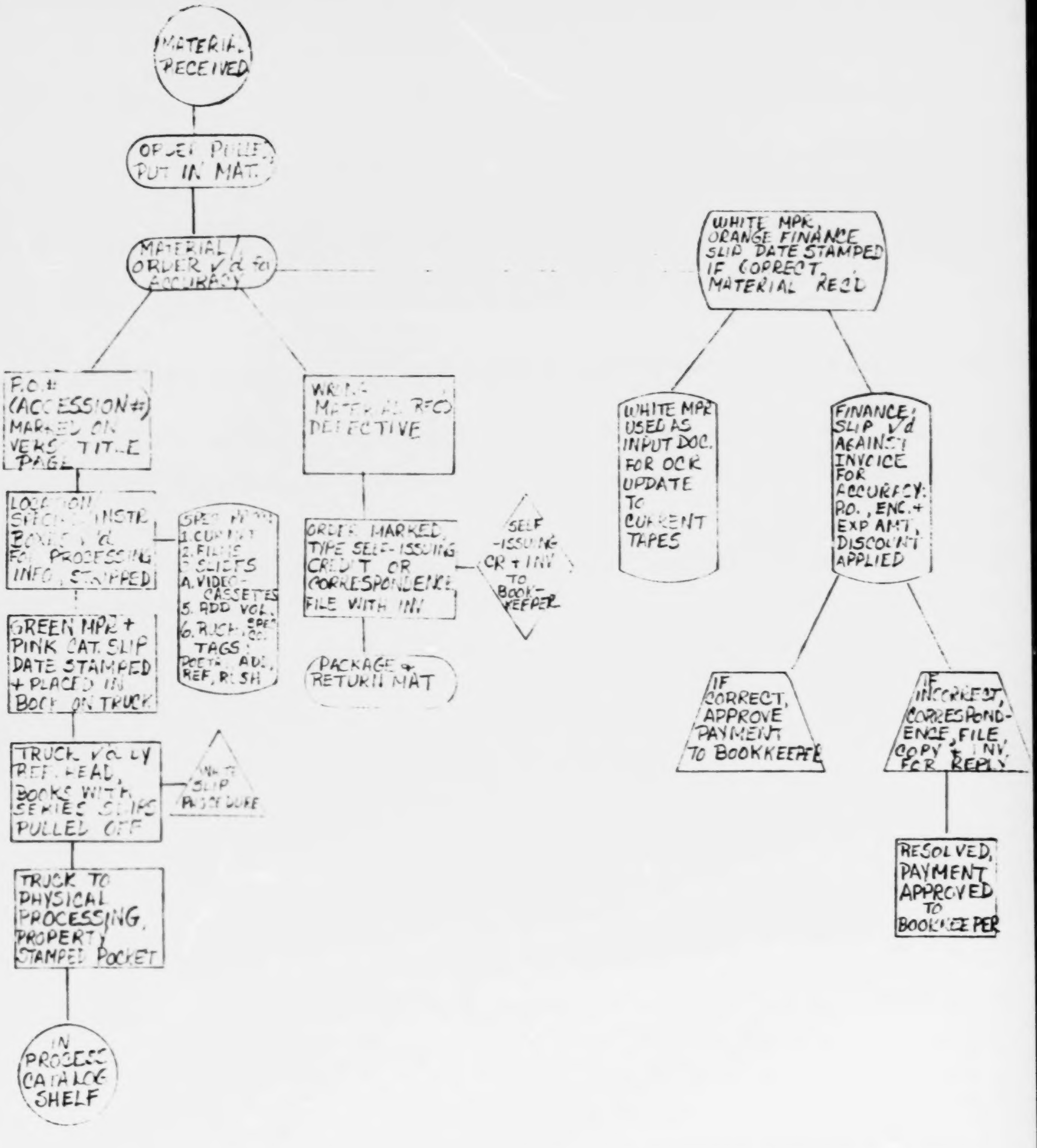
Henry York
Jan. 13, 1986

3) Flow Chart


Order request decided by selector
Funds Adequate?
No
hold or reject
yes
Send TO Verification w/Action Slip
Fund
Date-stamp
Count
MPR Typed
Note Notify/hold
in CSU Collection ?
yes
can be located
return TO Selector
Notify/hold Faculty if requested
NO
on order ?
yes
return To Selector
notify/hold Faculty if requested
NO
in Print ?
return TO Selector for review

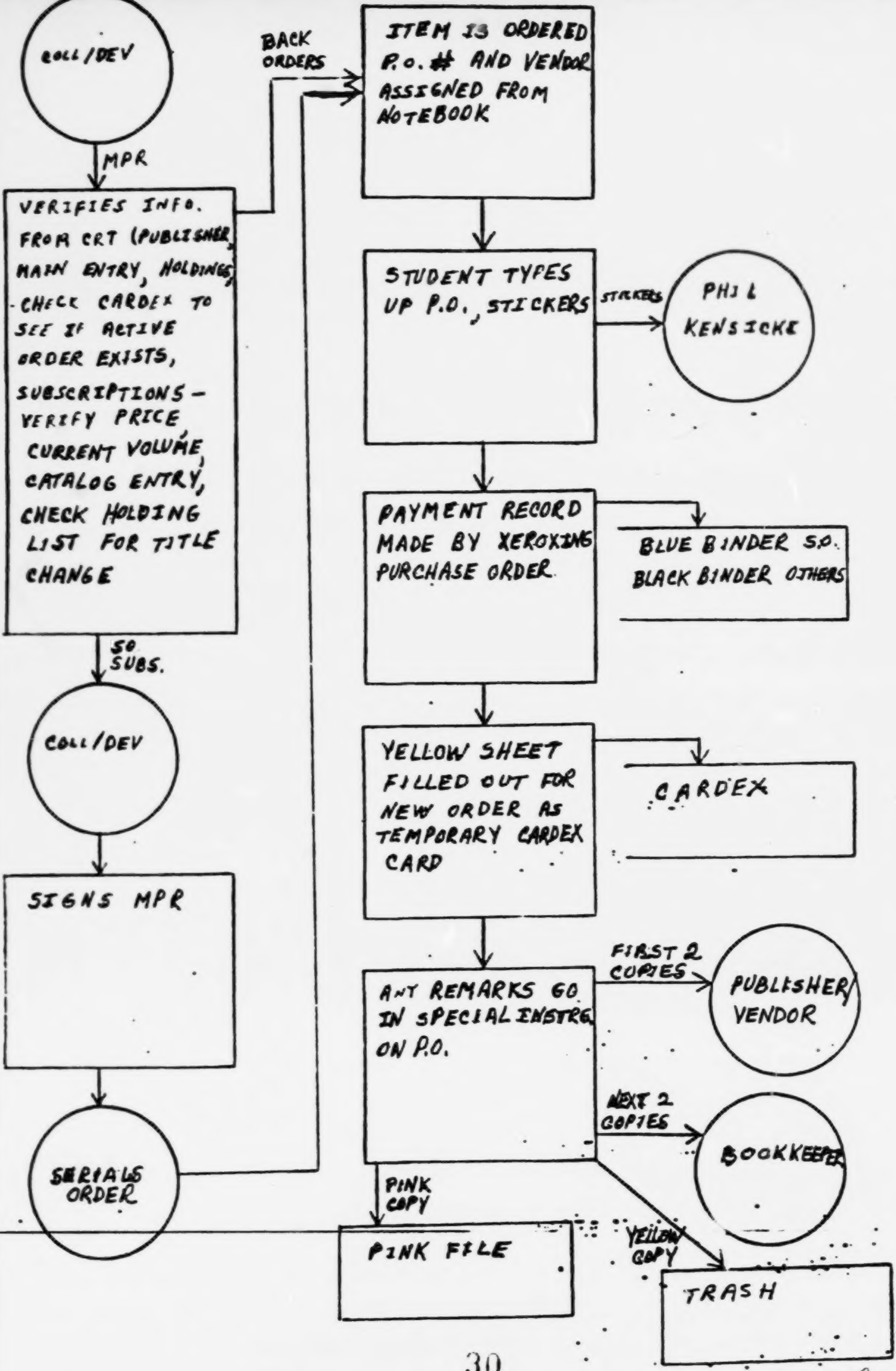

For Purchase Now ?
NO
hold
yes
Fund Available ?
NO
hold
yes
Vendoring
on order ?
yes
return To Selector
notify/hold Faculty if requested
NO
Batch + send To Book Order Unit


RUSH ORDERS
REGULAR ORDERS
CONFIRMING ORDERS
SERIAL BACKFILES
ASSIGNED P.O. #
MANUALLY TYPED
PROOFREAD
MAILED
FILED ALPHA BY TITLE
FILED ALPHA BY TITLE
ASSIGN P.O. #, BATCHED AND TOTALED, TYPED ON OCR FORM
PROOFREAD, CORRECTED, SUBMITTED
OCR scan - make corrections
preliminary edit - corrections
purchase program runs
orders + order list produced
list check $ totals, errors
ORDERS / MPR matched + mailed
REGULAR ORDERS FILED
ADVANCE PAY ORDER TO R.L. FOR DISBURSEM
CONFIRMING ORDERS - PUT IN BK + GIVEN R.L. CHECKIN
SPECIAL REQUIRE - MENT ORDE TO R.L. (LETTER ETC)
ORDERS TO BE DELETED + RESUBMIT TO R.L.


MATERIAL RECEIVED
ORDER PULLED PUT IN MAT.
MATERIAL / ORDER ✓d for ACCURACY
P.O.# (ACCESSION #) MARKED ON VERSO TITLE PAGE
LOCATION SPECIAL INSTR. BOXES ✓d FOR PROCESSING INFO, STAMPED
SPEC. [illegible] 1. CURRENT 2. FILMS 3. SLIDES 4. VIDEO-CASSETTES 5. ADD VOL. 6. RUSH, SPEC. COL. TAGS: POETRY, ADD., REF, RUSH
GREEN MPR + PINK CAT. SLIP DATE STAMPED + PLACED IN BOOK ON TRUCK
TRUCK [illegible] REF. HEAD, BOOKS WITH SERIES SLIPS PULLED OFF
WHITE SLIP PROCEDURE
TRUCK TO PHYSICAL PROCESSING, PROPERTY STAMPED POCKET
IN PROCESS CATALOG SHELF
WRONG MATERIAL REC'D DEFECTIVE
ORDER MARKED, TYPE SELF-ISSUING CREDIT OR CORRESPONDENCE, FILE WITH INV
SELF-ISSUING CR + INV TO BOOK-KEEPER
PACKAGE & RETURN MAT
WHITE MPR, ORANGE FINANCE SLIP DATE STAMPED IF CORRECT MATERIAL REC'D
WHITE MPR USED AS INPUT DOC. FOR OCR UPDATE TO CURRENT TAPES
FINANCE SLIP ✓d AGAINST INVOICE FOR ACCURACY: P.O., ENC. + EXP AMT, DISCOUNT APPLIED
IF CORRECT, APPROVE PAYMENT TO BOOKKEEPER
IF INCORRECT, CORRESPONDENCE, FILE COPY + INV. FOR REPLY
RESOLVED, PAYMENT APPROVED TO BOOKKEEPER

BOOK ORDER RECEIPT

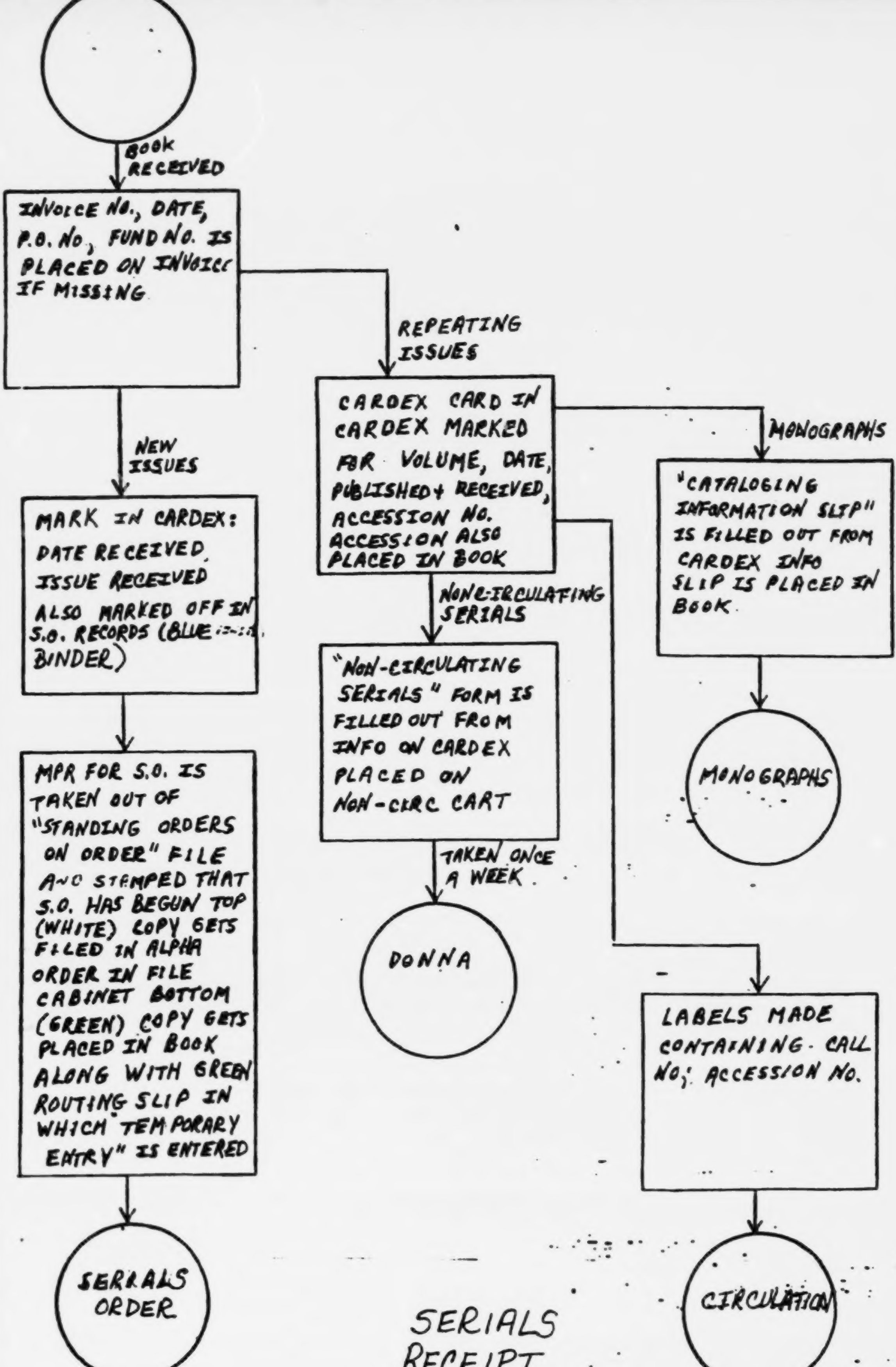
RL 1


COLL/DEV
MPR
VERIFIES INFO. FROM CRT (PUBLISHER, MAIN ENTRY, HOLDINGS, CHECK CARDEX TO SEE IF ACTIVE ORDER EXISTS, SUBSCRIPTIONS - VERIFY PRICE CURRENT VOLUME, CATALOG ENTRY, CHECK HOLDING LIST FOR TITLE CHANGE
SO SUBS.
COLL/DEV
SIGNS MPR
SERIALS ORDER
BACK ORDERS
ITEM IS ORDERED P.O. # AND VENDOR ASSIGNED FROM NOTEBOOK
STUDENT TYPES UP P.O., STICKERS
STICKERS
PHIL KENSICKE
PAYMENT RECORD MADE BY XEROXING PURCHASE ORDER
BLUE BINDER S.O. BLACK BINDER OTHERS
YELLOW SHEET FILLED OUT FOR NEW ORDER AS TEMPORARY CARDEX CARD
CARDEX
ANY REMARKS GO IN SPECIAL INSTRC ON P.O.
FIRST 2 COPIES
PUBLISHER/VENDOR
NEXT 2 COPIES
BOOKKEEPER
PINK COPY
PINK FILE
YELLOW COPY
TRASH

1-16

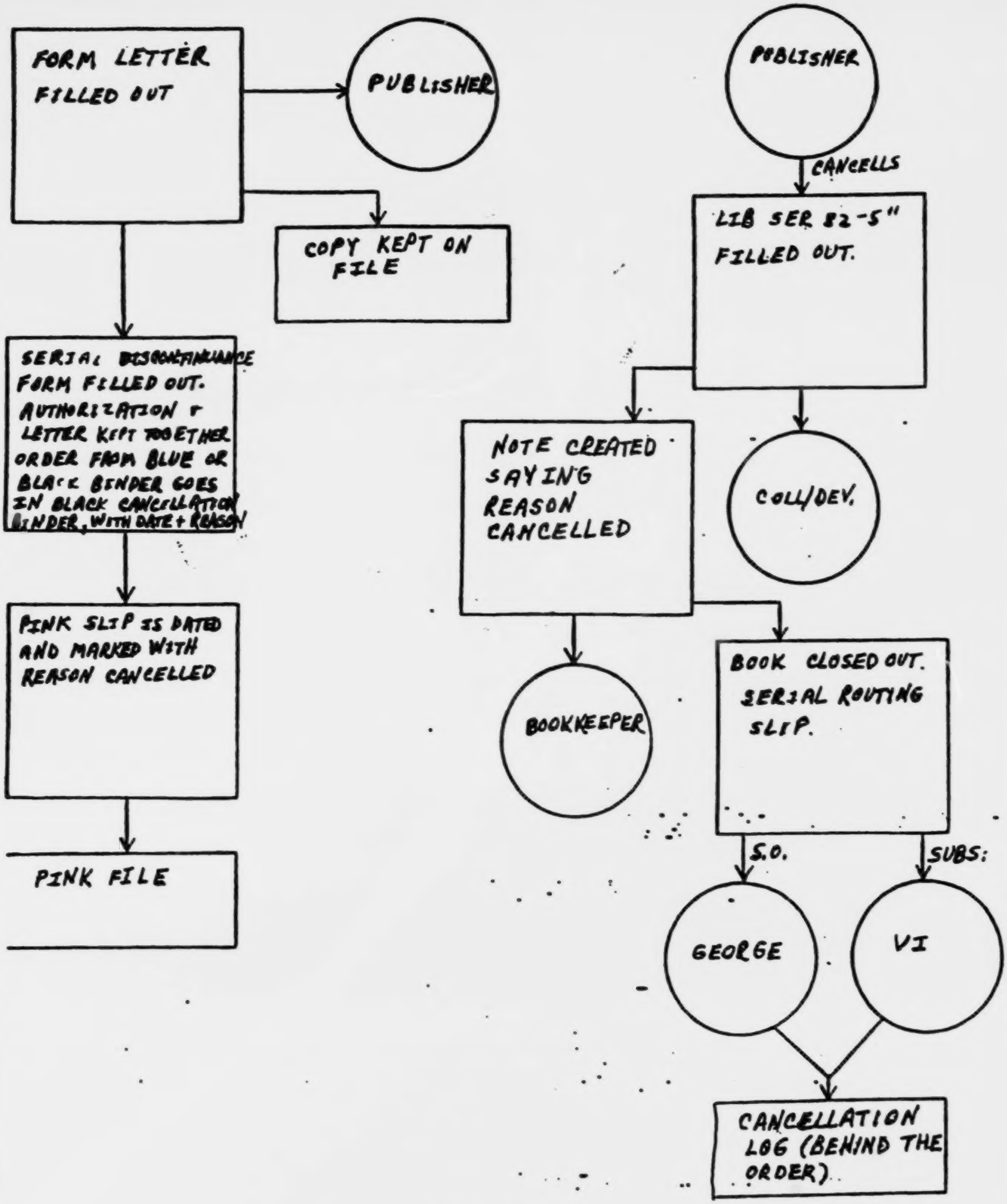
SERIALS ORDER PROCESS

C. Patrick

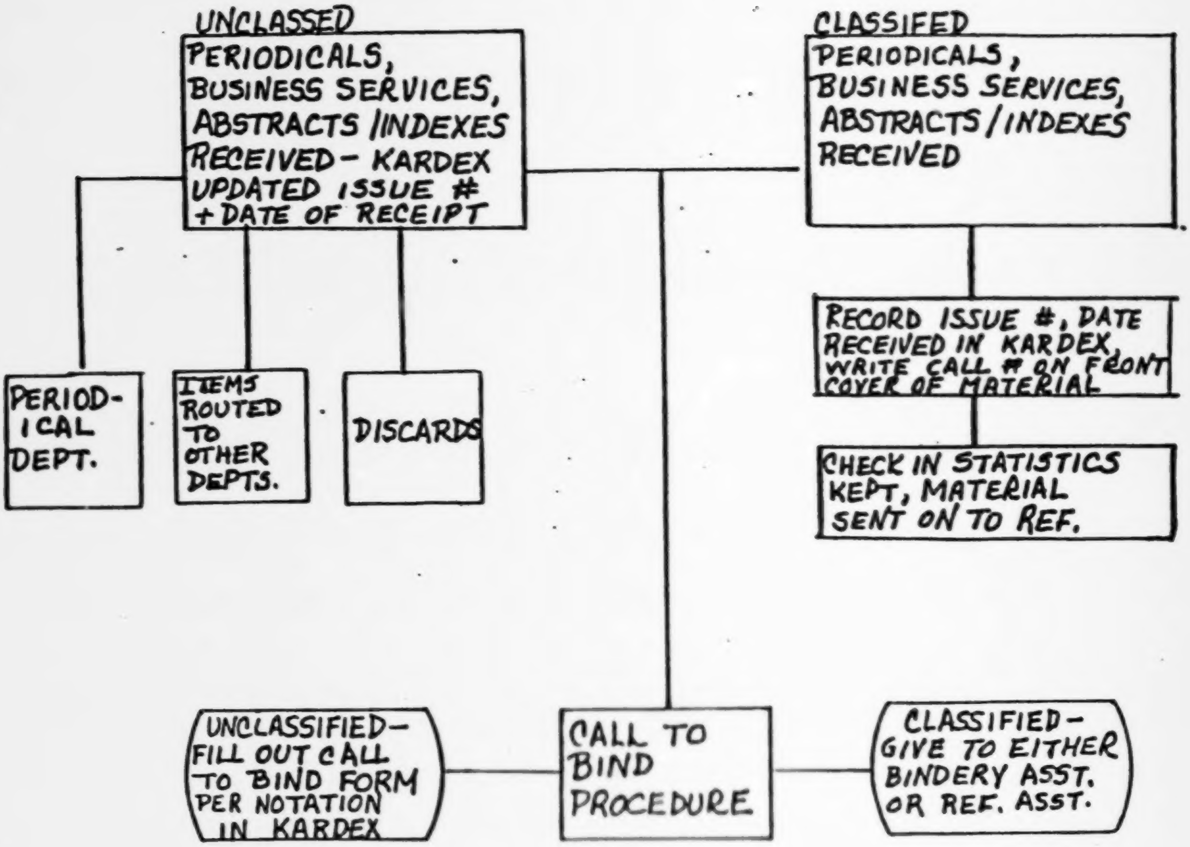

BOOK RECEIVED
INVOICE NO., DATE, P.O. NO, FUND NO. IS PLACED ON INVOICE IF MISSING
REPEATING ISSUES
NEW ISSUES
MARK IN CARDEX: DATE RECEIVED, ISSUE RECEIVED ALSO MARKED OFF IN S.O. RECORDS (BLUE BINDER)
MPR FOR S.O. IS TAKEN OUT OF "STANDING ORDERS ON ORDER" FILE AND STAMPED THAT S.O. HAS BEGUN TOP (WHITE) COPY GETS FILED IN ALPHA ORDER IN FILE CABINET BOTTOM (GREEN) COPY GETS PLACED IN BOOK ALONG WITH GREEN ROUTING SLIP IN WHICH "TEMPORARY ENTRY" IS ENTERED
SERIALS ORDER
CARDEX CARD IN CARDEX MARKED FOR VOLUME, DATE, PUBLISHED & RECEIVED, ACCESSION NO. ACCESSION ALSO PLACED IN BOOK
NON-CIRCULATING SERIALS
"NON-CIRCULATING SERIALS" FORM IS FILLED OUT FROM INFO ON CARDEX PLACED ON NON-CIRC CART
TAKEN ONCE A WEEK
DONNA
MONOGRAPHS
"CATALOGING INFORMATION SLIP" IS FILLED OUT FROM CARDEX INFO SLIP IS PLACED IN BOOK
MONOGRAPHS
LABELS MADE CONTAINING CALL NO; ACCESSION NO.
CIRCULATION

SERIALS
RECEIPT
PROCESS

Pat 1-10-85


FORM LETTER FILLED OUT
PUBLISHER
COPY KEPT ON FILE
SERIAL DISCONTINUANCE FORM FILLED OUT. AUTHORIZATION & LETTER KEPT TOGETHER ORDER FROM BLUE OR BLACK BINDER GOES IN BLACK CANCELLATION BINDER, WITH DATE + REASON
PINK SLIP IS DATED AND MARKED WITH REASON CANCELLED
PINK FILE
PUBLISHER
CANCELLS
LIB SER 82-5" FILLED OUT.
NOTE CREATED SAYING REASON CANCELLED
COLL/DEV.
BOOKKEEPER
BOOK CLOSED OUT. SERIAL ROUTING SLIP.
S.O.
SUBS:
GEORGE
VI
CANCELLATION LOG (BEHIND THE ORDER)

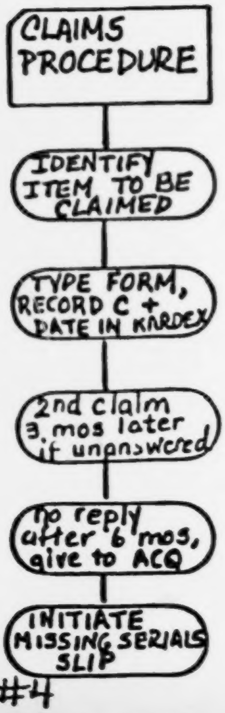
SERIALS
CANCELLATION
PROCESS


UNCLASSED
PERIODICALS, BUSINESS SERVICES, ABSTRACTS /INDEXES RECEIVED - KARDEX UPDATED ISSUE # + DATE OF RECEIPT
CLASSIFED
PERIODICALS, BUSINESS SERVICES, ABSTRACTS / INDEXES RECEIVED
PERIOD-ICAL DEPT.
ITEMS ROUTED TO OTHER DEPTS.
DISCARDS
RECORD ISSUE #, DATE RECEIVED IN KARDEX, WRITE CALL # ON FRONT COVER OF MATERIAL
CHECK IN STATISTICS KEPT, MATERIAL SENT ON TO REF.
UNCLASSIFIED - FILL OUT CALL TO BIND FORM PER NOTATION IN KARDEX
CALL TO BIND PROCEDURE
CLASSIFIED - GIVE TO EITHER BINDERY ASST. OR REF. ASST.

Other Procedures:

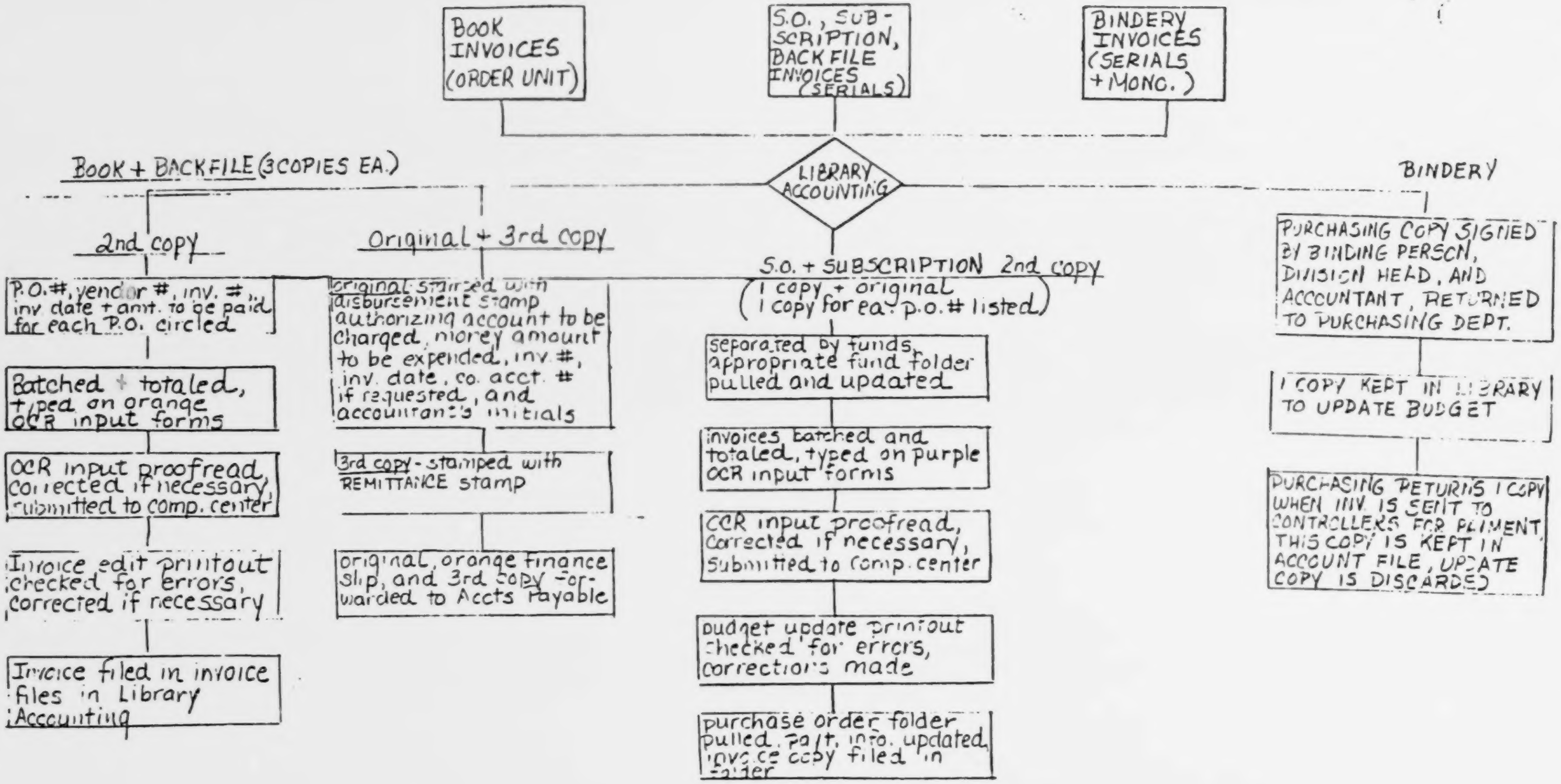
Discontinuances
Title Changes
Unsolicited materials

2


CLAIMS PROCEDURE
IDENTIFY ITEM TO BE CLAIMED
TYPE FORM, RECORD C + DATE IN KARDEX
2nd claim 3 mos later if unanswered
no reply after 6 mos, give to ACQ
INITIATE MISSING SERIALS SLIP

PERIODICAL
CLAIMS + CHECK-IN
PROCEDURE

Serials #4


BOOK INVOICES (ORDER UNIT)
S.O., SUBSCRIPTION, BACK FILE INVOICES (SERIALS)
BINDERY INVOICES (SERIALS + MONO.)
LIBRARY ACCOUNTING
Book + BACKFILE (3COPIES EA.)
2nd copy
Original + 3rd copy
S.O. + SUBSCRIPTION 2nd copy
BINDERY

P.O.#, vendor #, inv. #, inv. date + amt. to be paid for each P.O. circled

Batched + totaled, typed on orange OCR input forms

OCR input proofread, corrected if necessary, submitted to comp. center

Invoice edit printout checked for errors, corrected if necessary

Invoice filed in invoice files in Library Accounting

original stamped with disbursement stamp authorizing account to be charged, money amount to be expended, inv. #, inv. date, co. acct. # if requested, and accountant's initials

3rd copy - stamped with REMITTANCE stamp

original, orange finance slip, and 3rd copy forwarded to Accts Payable

(1 copy + original
1 copy for ea. p.o. # listed)

separated by funds, appropriate fund folder pulled and updated

invoices batched and totaled, typed on purple OCR input forms

OCR input proofread, corrected if necessary, submitted to comp. center

budget update printout checked for errors, corrections made

purchase order folder pulled, pa/t. info. updated, invoice copy filed in folder

PURCHASING COPY SIGNED BY BINDING PERSON, DIVISION HEAD, AND ACCOUNTANT, RETURNED TO PURCHASING DEPT.

1 COPY KEPT IN LIBRARY TO UPDATE BUDGET

PURCHASING RETURNS 1 COPY WHEN INV. IS SENT TO CONTROLLERS FOR PAYMENT, THIS COPY IS KEPT IN ACCOUNT FILE, UPDATE COPY IS DISCARDED

CATALOGING

Monographs Books Processing Overview - 1

Books arrive from Acquisitions and from Gifts. They are stamped and security stripped by R. Letwin or P. Bogle, and placed on the "new book shelf". The Copy Cataloging Associates or Assistants remove the books to the "in process truck", and search the OCLC data base for copy. If no copy is to be found the books are sent to original cataloging. New books are put on "front arrearage" if no copy is found, and held six months. If copy is found, the name access points are checked in the online authority file, and the EAF. Headings not in our EAF, and headings for which there are cross references are searched by copy cataloging assistants in the public catalog. If checking is not required, the materials are processed immediately on OCLC using the "online production processing procedure". If corporate headings are lacking, the materials are placed in "Corporate Arrearage" for further checking. After checking in the P.C., the materials are placed on the professional cataloger's shelves for checking. After cataloger decision, the EAF entries and catalog cross references are made, and the materials go back to the cataloging assistants for "online production". Correction labels for existing cards are generated as needed as a by-product of this process. The labels, after being proofread, are attached by cataloging assistants. The cataloged materials are placed on the label truck. The student runs the labels following the MPR, and the truck is sent to P. Bogle (Binding-Processing). She affixes the labels, puts in the pocket and also makes the decision for binding. The MPR, which serves as a worksheet through this process, is sent to M. Puhalsky. The "OCR run for book cards and Master Circ File" is done by M. Puhalsky. She receives the catalog cards from OCLC, checks them against the MPR, sees to it that mistakes are routed for fixing, divides up the cards for filing and distributes them to the filers. The book cards are sent from the Computer Center to P. Bogle who checks them and puts them in the books, or sends them back to M. Puhalsky if there is a mistake. M. Puhalsky does the "OCR run to circulate" the books, matches the MPR's to the books, and puts the books on a shelf where they are held for the Circulation Assistant who comes for them every Thursday. The MPR's that request notification of readiness go with those particular books and are sent out by the Circulation Assistant. All other MPR's get thrown out.

Online Production Processing Procedure - 2

Books for processing are returned to the copy cataloging assistants with copy edited and authority complete. The record is pulled up on the OCLC terminal. If CSU already holds, the shelf list is checked and the materials are put on the added volume shelf. The accession number on the MPR is compared with that on the temporary shelf list and in the book. If there is a conflict, it is resolved with the Acquisitions Supervisor. The printout copy is matched with the online record and modifed if necessary. The accession number is added, the location is changed if required and the call number is written in the book. Statistics are recorded. The book is "produced" and placed on the label truck.

Authority Work in the Public Catalog - 3

The searchers (LMTA 1) remove books and other materials from the shelves in the copy catalogers' areas. These materials have been searched on OCLC and contain authority and bibliographic printouts which the searchers initial and date.

If an authority printout is not present (no OCLC authority), the names on the 100, 600 and 700, as well as the 400 and 800, fields of the bib printout, and any names added by the copy catalogers, are searched in the public catalog. If a name is found in the public catalog, any conflicts are counted and recorded on the printouts. The printouts are returned to the materials, the materials are sent to the catalogers' shelves, where they are edited, or set aside to wait for LC authority (corporate names). Names other than corporate are established, and noted in the EAF as non-LC authority.

If an authority printout is present, the names and series are first searched in the author-title catalog. Then the names are searched in the subject catalog. If there are conflicts with the treatment of names in the 400 field (x ref) on the authority, they are counted and recorded. If a form is found as in the 100 or 500 fields on the authority printout, "OK" is written opposite the name. If the form is not found, 0 is written opposite the name. The conflicts are recorded and the materials and printouts are forwarded to the catalogers, as above.

Authority Work in EAF - 4

The catalogers edit the printouts and forward them to the Copy Cataloging Associate (A. Carpenter). She records statistics (authorities, cross refs, see also, guide cards and labels), and checks or verifies for inconsistencies. She types series cards, photocopies them and sends them to the Serials Cataloger. She types correction labels for the public catalog, and types the name cards for the EAF and the public catalog, and separates them. A student files in the EAF and the CC Associate revises. The cards for the main catalog are reviewed by the catalogers, and they are given to the Copy Cataloging Assistants for filing.

Front Arrearage - 5

Materials go to the front arrearage from the in-process shelves that have been published four years prior or later, and 1) have no copy; 2) have unusable or confusing copy. Frequently it is clear from the nature of the materials that usable (DLC) copy will become available in a few weeks or months. All materials are checked once a month for up to six months, then processed or sent to the cataloger for original cataloging.

Materials older than five years are not held. They are searched in the NUC and sent for original cataloging.

Corporate Arrearage - 6

Materials go into the corporate arrearage that have corporate names that cannot be found in the OCLC authority file. The Copy Cataloging Associate (E. Golick) searches OCLC and runs off available authority. If only one heading is lacking, the materials are sent to a cataloger for authority work, and processing is completed straightaway.

If more than one heading is missing, the materials are held and searched once a month, even if the name lacking authority comes from DLC cataloging. After six months, or after the names have been found, the CC Associate searches the names in the public catalog, forwards the materials to the catalogers, who complete the authority work, and return the materials to the original processor.

In the cases where the catalogers must create headings, a temporary authority record is created in the EAF (pink slip). This is searched once a year in the Authority Maintenance Project.

Monographs Labels Production - 7

After cataloging is produced on OCLC, the books are placed on the label truck. The student labeler calls up the online record for each book by OCLC number. The student, working from the green MPR, formats the label and makes changes in the data which has been formatted from the OCLC record. The label sets are run and batched by truck/shelf, with the appropriate MPR's. The completed truck is sent to Binding-Processing (P. Bogle).

OCR Run for Book Card and Master Circ File - 8

The Binding-Processing Associate (P. Bogle) gives the MPR's to the Processing Associate (M. Puhalsky). Her student puts them in shelf list order. Books sent from Serials or Circulation requiring book cards, or Master Circ updates, do not have MPR's. M. Puhalsky types the OCR scan sheet entering every book not Reference, Biblio, Mic/, or Atlas. She codes for "add", "delete", "update" or "book card only". Computer Services staff pick up scan sheets two times daily. The next day a printout of the previous day's scan is sent down and reviewed by M. Puhalsky. Mistakes are rerun. That same day the Computer Center runs the job that produces the book cards and updates the master circ file. P. Bogle receives the book cards the next day.

OCR Run to Circulate Purchased Books - 9

Working from MPR's, M. Puhalsky types the OCR scan sheet "Received-Circulated-Cancelled" to "circulate" 7,000,000 books. Those forms are added to the Acquisitions OCR run sent to the Computer Center every Thursday. The printouts for proofing are sent to R. Letwin (Acquisitions) on Friday. Monday R. Letwin gets a printout showing all updates to the order file. This dates the order file, or transfers the entry to the Book History. R. Letwin proofs the printouts, corrects her area's errors, and sends M. Puhalsky's errors back to her.

Rush Cataloging - 10

Rush materials come from Gifts and the Monographs Acquisitions Unit. The Copy Cataloging Associate (E. Golick) searches for authority and copy. For Added Volumes the shelflist is pulled, the accession number added to it, and the OCLC record updated; labels are hand typed, the MPR is photocopied. Reference books are sent to P. Bogle for processing. Circulating books are sent to M. Puhalsky for book card production, then sent to P. Bogle.

New materials are searched on OCLC. If authorities are complete, cataloging is produced following the "Online Production Processing Procedure". Physical processing proceeds as above.

If authorities are not complete, or cataloging is lacking, the materials are searched in the public catalog, and given to the cataloger who completes the necessary authority and cataloging work. The materials are returned to the Copy Cataloging Associate (E. Golick) who produces the cataloging as above. Processing proceeds as above

Music Scores and Sound Recording Cataloging - 11

The sources of music materials are gifts, monograph acquisitions and standing orders. The materials go to the Copy Cataloging Associate (R. Koloda). He searches the materials on OCLC.

If there is no usable copy he begins the descriptive cataloging, does the authority work in the EAF and the public catalogs, creates the subject headings, and verifies them against the NUC and the public catalog. This is checked by the cataloger.

For scores, he checks the shelflist, completes the call number, files the pink slip, fixes the MPR and types labels for the verso of the title page. He inputs the cataloging and puts the scores on the "Processed" truck.

For discs, he looks for older copies of the work in the public catalogs, assigns a sequence number, types labels, inputs the cataloging and gives the materials to P. Bogle.

If there is usable copy, he searches and prints the authorities, checking the copy against NUC, checks the authority file and decides if authority work needs to be done in the public catalog.

If so, the searching is done by CC Assistant. If not, R. Koloda corrects the bib printout, fills out error reports to OCLC, and sends the authority work to the cataloger for checking.

Discs and scores are then processed as above, except that original input is not required.

Government Documents (Paper Monographs) - 12

H. York sends the documents to Monographs. The Head of Reference reviews and decides if the materials need to be put in Reference. The CC Associate (A. Carpenter) searches OCLC. About 5% have no available record. These are held and searched once per month for one year. After a year, they are sent to the cataloger for original cataloging.

If any copy is found, then authority work is done on OCLC. If corporate authorities are lacking, the "Corporate Arrearage" procedure is followed.

If a subordinate corporate body only is lacking, the cataloger does the necessary authority work immediately. If the headings are complete, the authorities are checked in the EAF and in the public catalog.

The materials are cataloged according to the "Online Production Processing Procedure".

Standing Order Monographs - 13

Serials sends the standing order monographs to the S-O shelf. They are searched on OCLC. If there is no copy, they are processed according to the "Front Arrearage" procedure. A white processing slip connotes an established series; a green one, a new series. The EAF is checked by the CC Associate (A. Carpenter) and the series verified. If not found, the Name Authority Index is checked. If not found, it is given to the cataloger for decision, and the green form annotated. If found in the EAF and/or Name Authority Index, the green form is filled out by A. Carpenter and sent to Serials. Authority work is performed in the public catalog, and processing is completed according to "Online Production Processing Procedure".

Thesis Cataloging - 14

A. Wade sends the theses to P. Bogle for binding. All are bound green except for chemistry doctoral theses, which are bound black. P. Bogle sends the theses to the catalogers for original subject cataloging and authorities.

Master's theses are given level "K" cataloging by A. Carpenter. The cataloger assigns subject headings and checks the work before the cataloging is produced.

Doctoral theses are cataloged originally at level "I" by the cataloger and input by A. Carpenter. The cataloger checks the work before the cataloging is produced.

Added Volumes/Copies - 15

Added copies are sent from Acquisitions and other sources to the add shelf. Working one truck at a time, the CC Assistant (R. Kusmer) verifies the P.O. numbers, corrects the MPR's, writes the pink slips, puts the MPR's in the books, and pulls the shelflists, exchanging the pink slips.

If the shelflist is out of file, the book is put on the add-hold shelf and rechecked with the next batch. If the shelflist is not found, the book is returned to Acquisitions.

When the shelflist is found, the processing continues. The accession number is written in the book, except in the case of multipart items. The MPR is adjusted and the volumes are "written up". The shelflist is completed (exception - multipart items: The OCLC record is cancelled, the modified holdings statement is input including all holdings and the OCLC record is updated.)

Regular adds are processed as follows: The call number on OCLC is modified if necessary, the 049 is updated, the main entry is edited and the record is updated.

The shelflist is put in the s.l. box, the books are put on the truck for processing.

Reference Sweep - 16

The CC Associate (E. Golick) receives the Ref Sweep cards for monographs from the Head, Reference Division. There are basically three categories - cataloging problems, change from Ref to Circ, or discard. In the first case, E. Golick either solves the problems or gives them to the CC Assistants to solve.

In Ref to Circ changes, the s.l. is checked. If it is the only copy owned by CSU, the cards are pulled, the location manually changed, OCLC updated, and the cards refiled. An MPR is created, and the labeling and circulating procedure is followed. If other copies are owned, the existing cataloging is checked for the existence of a circulating card set. If one exists, the book is added to that following the added volume procedure. If no circulating set exists, the book is cataloged on OCLC as a new book. The online record of the original is cancelled and updated.

Monographs/Original Cataloging - 17

The Copy Cataloging Associate gives the materials to the catalogers who search OCLC. If copy is found, the materials are returned to the copy cataloger. If no copy is found, the cataloger establishes the entries by searching the bib tools. The Librarian checks LCSH and supplements for subject headings. The Librarian assigns the call number from the shelflist, the LC subject catalog, and the LC class schedules. The catalog is double checked. The Librarian fills out a work form and gives it to the Copy Cataloger, who completes the processing.

Updating Subject Headings for LCSH - 18

Update subject headings listed in the most current supplement against the basic volumes and other supplements of LC Subject Headings. Transcribe check marks from 2nd most current to most current LCSH supplement. Go through the list of "Significant Changes" in the latest supplement. If an "old" heading is not represented in the CSU subject catalog, disregard the change. For those old headings found in the catalog, cross out the old headings in the basic volumes and earlier supplements and make check marks by the new headings 'see references', and/or scope notes. Also make note of all subdivisions for old subject headings being changed. Pass the instructions for new subject headings (plus all subdivisions), references and scope notes (as applicable) to typist. After typing, proofread the guides and distribute to filers. In situations where old headings are being split into 2 or more new and/or existing headings, subject heading assistant will retain guides for filing himself. New guides are filed using red flags.

Verifying Subject Headings - 19

Go through subject cards returned by filers because no subject guides could be located in the catalog for these headings. Sort out those cards with common subdivisions, as well as those representing personal names, corporate bodies, and geographical areas. The latter three have already been searched in the online name authority file and the public catalog. All these cards are passed to typist to type subject guides. For remaining subject cards (mainly topical subject headings), check each heading in the LC Subject Headings and all of its Supplements to verify the proper headings, 'see references' ;and scope notes (as applicable). Make check marks by all headings, references and notes used in the LCSH and Supplements. Pass subject cards along with instructions for headings, references and notes to typist to type guides. For those headings not found in LCSH, also pass these to typist to type guides. Following the typing and proofreading of guides, the guides and cards are returned to filers for filing. New guides are filed using red flags.

Missing Materials - 20

Missing materials are identified from the missing list generated in Circulation.

Shelflist cards are pulled, photocopied and attached to the originals. In Serials, no inventory is conducted. The shelflist is updated only. Serials receives a copy of the shelf list showing lost volumes. Monographs keeps the shelflist, annotated to show lost volumes; if the title is deleted. A copy is kept showing lost volumes. Collection Development is sent a copy of the shelflist showing lost volumes. Circulation receives annotated missing lists.

For Monographs, an inventory is conducted when multiple copies of a title exist. Card sets are pulled and checked. The shelflist is updated. The shelflist, the card sets and the circ file are compared and reconciled. The CSU holdings on OCLC are updated. The records are proofread to check for errors. Reports are sent to Circulation and Collection Development as described above. Monographs keeps the original shelflist for deleted titles, or a copy for lost volumes.

Binding-Processing: New Books From Acquisitions and Gifts - 21

New books from Acquisitions are brought down on trucks. Pockets are pasted in, and the books are property stamped. Then they are put on the "to be cataloged" shelf.

Gift books are put up on the Gift shelf. They are security stripped and stamped by P. Bogle. Then they are put back on the shelves for processing.

Binding-Processing: OCLC Trucks From Monographs Cataloging - 22

The OCLC truck is sent to P. Bogle from labeling. Labels and MPR's are checked for mistakes, and returned to the processor if necessary. The book is labeled, and another label is pasted on the pocket. Decision is made for binding. If the book is to be bound, the MPR's are photocopied if necessary (hold and notify). The MPR's are marked "bindery". Binding is processed according to "Binding from all trucks and Circulation".

Reference books are pulled from the truck. They are stamped 'Reference', the MPR's are pulled and the books are sent to Reference. If notification is required, the MPR is photocopied and given to M. Puhalsky; the green copy stays with the book.

MPR's from the remaining books are pulled and given to M. Puhalsky. P. Bogle pastes pockets and property stamps the books if necessary. When the book cards arrive from Computer Services, they are checked, and the accession number is written on the book card. Art, Juv, Archives and Music materials are sent to those Units. The remaining books are given to M. Puhalsky for further processing.

Binding-Processing: Books From M. Puhalsky (Rush Cataloged) - 23

Books are sent from M. Puhalsky to P. Bogle. Each book is compared with the MPR. Remove photocopy of MPR and return it to M. Puhalsky for 'circulating' the 7,000,000 numbers, and for matching with OCLC cards when they arrive. Paste pocket and labels. When book card is received from Computer Services, check and write the accession number on it. Put the book card in the book. Sort and send on (Reserve Room, Circulation, selectors).

Binding-Processing: Records and Cassettes - 24

P. Bogle receives the materials from R. Koloda or J. Crone. The MPR is checked, then sent on to M. Puhalsky for ordering the book card, and for matching with OCLC cards. The pocket is pasted on the jacket or box. When book cards are received, the accession number is written on the card and the card put in the pocket. The materials are sent to Audio/Music.

Binding-Processing: Microform, Film and Special Collection - 25

Microforms are sent to P. Bogle from J. Crone. P. Bogle checks the MPR, sends it to M. Puhalsky for matching with OCLC cards, and sends the materials to the Periodicals Supervisor.

Films are sent to P. Bogle by J. Crone. The MPR is checked and sent to M. Puhalsky for ordering book cards and matching with OCLC cards. The films are sent to Film Service.

Special Collection materials are sent to P. Bogle by M. Puhalsky after the OCLC cards have been received. The special processing slip is checked and the processing to that point verified. If labels have been produced, arrangements are made to produce or acquire a special container. When the container has been prepared, the materials are sent to the Periodicals Supervisor, who is the custodian of the collection. If there are no labels, and therefore no other special processing requirements, the materials are sent directly to the Periodicals Supervisor.

Binding-Processing: Trucks from Circulation - 26

P. Bogle checks each book and sorts for binding (see "Binding from all trucks and Circ") or mending. She mends the materials which can be mended and returns it to Circulation. The remaining unmendable materials are sent to E. Smith for 'withdrawal' procedures and discarding.

Binding-Processing: Binding from All Trucks and Circulation - 27

The materials are sent to P. Bogle who sorts out the ones for Economy style, Class A, or Music Binding. Each style is counted, the book cards removed, and the materials boxed separately from the other styles.

The book cards are combined and put in accession number order. When the books are returned from the bindery, they are counted. All the books are security stripped. The call number and title on each book is checked for accuracy. Pockets are pasted, book cards matched and inserted, and the materials are either sent to the New Book Shelf (new books), sent to the stacks (rebinds), or sent to Audio Music.

Binding-Processing: Theses from A. Wade - 28

The theses are checked in and counted. Statistics are recorded. This is important because multiple copies of each are bound, and the numbers vary. Ph.D. theses in Chemistry are sorted out for black binding. All others are bound green. A binding slip is typed for title, author and color. The theses are sent to the bindery. When returned, they are counted and checked in. A photocopy of each title is held for cataloging. The original is sent to Archives. The remainders are sent to A. Wade. The cataloging copy is tattle-taped, and sent to A. Carpenter for cataloging.

Binding-Processing: Serials Trucks - 29

Serials sends the trucks of books to M. Puhalsky who orders book cards directly from the information penciled in the books (no green sheets). If discrepancies are found, she checks with Serials by phone and corrects, then sends the books to P. Bogle who checks the books and the labels. She pastes pockets, affixes the labels, and property stamps the books. When book cards are received, they are checked, errors are returned to M. Puhalsky, the accession number is written on the book card, and the book card is put in the pocket. The books are taken directly to the stacks.

Serials Cataloging - 30

This describes the processing of all new, purchased classed serials: standing orders, subscriptions (including backfiles), renewals, memberships and blanket orders.

Bibliographic control begins at order when the temporary Kardex is created. On receipt the Kardex is updated. The first issue received is reviewed and retention policy, binding location, department code, and whether to circulate to the academic department, are all decided, and the cataloging recommendation is made. New standing orders receive a green routing slip. The materials are already on the review shelf when Collection Development and Head, Reference Division review it. They then put it on a "reviewed" shelf. The Acquisitions Supervisor moves it to the Cataloging shelves and indicates on the temporary Kardex that the materials have been received and sent on. The LISCA (J. Montilla) searches the materials on OCLC; if copy is not found, the search continues for six months before sending to original cataloging. When copy is found, J. Montilla decides if the quality is good enough for cataloging, and does authority work. The Serials Cataloger fills out the green sheets after reviewing the materials, sending the monographs downstairs as appropriate. The LISCA checks the authority fields, then lists, and verifies that we do not own the materials already in another format. The LISCA does not do authority work until all monographs/serials questions are resolved, and then does authority only for Serials. The Serials Cataloger edits the record and sends the authority work to the Copy Cataloging Associate (A. Carpenter). The form for the Serials Holdings List is filled out. The materials return to the LISCA who creates a permanent Kardex record and completes all paper work (MPR, temporary shelflist). This is sent to the BVCA (B. Trizzino) for checking. The SHL form is given to the Serials Holdings List Assistant. The BVCA assigns an accession number, puts in the security strip, initiates the binding review and separates the circ copies (to M. Puhalsky) and the Ref and non-circ copies. The bib printout, the green sheet and temporary shelflist are passed to the LISCA for OCLC processing and the temporary shelflist is filed. The Serials Cataloger reviews the work and produces the record on OCLC. The cataloged copy and MPR are returned to the LISCA, and the MPR is sent to Monographs (M. Puhalsky). The cards are received from OCLC, and are filed in the public catalog, after final check for mistakes.

New Periodicals - 31

At the point of order, a temporary Kardex record is produced. When the first issue is received, the Kardex is updated and a yellow routing slip prepared. Collection Development staff review the issue and decide on retention, department codes, and the location of unbound issues. The issue is returned to the review shelf and then to the cataloging shelf. The Acquisitions Supervisor writes on the temporary Kardex that the materials were reviewed and sent to Serials Cataloging. The Serials Cataloging Assistant searches, prints the bib record, creates an OCLC Local Data Record Workform, checks the authority online (doesn't do full authority work), and checks the linking fields. If no copy is found, the materials go to the Serials Cataloger for original cataloging. If copy has been found, the Serials Cataloger edits the record and the LDR fields and starts the Serials Holdings List form. The Serials Cataloging Assistant creates the permanent Kardex. The Online Assistant replaces the temporary Kardex with the permanent one and checks in the materials, checking the in-process shelf at the same time. Holdings are recorded on the Periodical Routing Slip. The Online Assistant creates the Local Data Record, updates the bib record on the online tape if necessary, sends the MPR to the selector and the other materials to the Serials Holdings List Assistant.

GPO Fiche - 32

In process -

Title Changes of Periodicals - 34

The Serials Cataloging Assistant searches the data base for bib records of old and new titles. If a bib record is not found for the new title, it is searched every month for six months; then if copy isn't found, the title is sent to the Serials Cataloger for original cataloging. If copy is found for the new record, it is printed, along with the Local Data Record of the old title. An LDR workform for the new record is prepared. The materials are put on the periodicals change shelf. The Serials Cataloger makes changes in the bib records and the LDR's, completes the SHL update forms for the old and new titles. The materials are returned to the Serials Cataloging Assistant, who makes a new Kardex, transfers information from the payment record to the Kardex, staples the old Kardex together and files it in the dead periodicals file.

If we pay for the periodical, the LASCA is notified of the title change. A "call to bind" card is filled out and is placed, with the old issues, on the bind shelf.

The new issues are given to the Online Assistant along with the printout, the Kardex and the SHL forms. The OLA checks in the first issue, creates an LDR for the new title from the workform, and updates the LDR and the original tape for the old title. The issues are given to the SHL Assistant who shelves them.

Cancellation of Classed Serials - 35

Collection Development Librarians tell Serials Acquisitions to cancel the classed serial title. The Acquisitions Supervisor circulates the Serials Discontinuance forms, which instruct to keep or discard.

For discards, the LISCA pulls the Kardex, the catalog cards and the physical volumes. Volumes and book cards go to Monographs where they are stamped "withdrawn" and decirculated, the book cards being given to M. Puhalsky to delete from the Master Circ File. The LISCA cancels the OCLC record, and gives the forms to the Serials Cataloger. The SHLA deletes the entry in the Serials Holdings List. If the volumes are to be kept, the LISCA marks the Kardex for discards, pulls the current issue Kardex, and follows the appropriate binding instruction. LISCA gives the forms to the Serials Cataloger who prepares the update to the SHL, and then gives the form to the SHLA for updating.

Cessations of Classed Serials - 36

Serials Acquisitions circulates the control form, "Serials Discontinuance-Ceased". The decision is made to keep or discard the volumes. If they are to be discarded, the process is the same as for cancellation discards (35). If the volumes are to be kept, the LISCA verifies the cessation and notes the dates. She marks the last volume number on the Kardex "ceased" and pulls the current-issue Kardex, if any. The LISCA copies the shelflist and gives it to the Serials Cataloger who evaluates cessation, recommending either annotation (whereupon the LISCA annotates the cards) or recataloging. In the latter case, the Serials Cataloger recatalogs on OCLC, and instructs the SHLA on closing the entry. The SHLA closes off the entry, and the Serials Cataloger reviews the forms.

Change of Entry and Upgrading Cataloging - 37

Causes for change of entry and upgrading are: 1) discrepancy found at check-in; 2) discrepancy found during title change process; 3) result of the classed serials to SHL Project; 4) results of maintenance of new cataloging; 5) entry on Kardex differs from the piece; 6) entry on copy differs from Kardex, EAF, OCLC, authority or existing bib record.

When a discrepancy is suspected, the Serials Cataloger is consulted. The LISCA checks the OCLC online authority, and gathers relevant bib data (in-house and online records). The information is written on the authority printout; however, the card set is not pulled. Inventory holdings are checked if necessary, and the volumes. The Serials Cataloger either decides no change is necessary or recommends a change. Authority decisions are made by the Serials Cataloger.

Change Monographs to Serials - 38

The decision to recommend a change from monograph to serial is made by the Monographs Cataloger or by the Copy Cataloging Associate, in which case the decision is confirmed by the Serials Cataloger. The Serials Cataloging Assistant pulls the shelflist and sends it to Monographs where the records are pulled. The Serials Cataloging Assistant withdraws the volume for recataloging (see Serials Cataloging). The "review" steps in this process are not followed.

Serials Holdings List (SHL) Procedure - 39

When a SHL entry is added, updated, or deleted, a Serials Master File Update (SMFU) form (Lib. Ser. 82-6) is initiated. SHL Assistant (SHLA) fills in missing information based on routing slip, Kardex, payment record, etc., proofs SMFU while checking linking entries, adds cross-references indicated by Cataloger by filling out another SMFU, selects and enters a Serial Identification Number (SIN) for new entries, and writes changes in the Master SHL. Typist types data onto OCR form. SHLA proofs OCR forms against SMFU's (also receives prepared OCR forms from Law School; SIN's must be added for new entries). SHLA prepares monthly and quarterly printout requests via memo to Data Control listing all variations in SHL (25 types); also fills out OCR production run sheet for computer room attendant. Does scan on computer; turns in forms for ordering runs. Receives OCR Edit Run (P0451Q40) reflecting OCR input forms and listing errors and drops. Receives at the same time an update report (P0451Q41) showing all entries added or updated, the SIN of all entries deleted, and the number and type of errors. Printouts received and distributed by SHLA. Serials Cataloger proofs the update report (P0451Q41) against the SMFU's and OCR's.

CLEVELAND STATE UNIVERSITY LIBRARIES
TECHNICAL SERVICES DIVISION

STATISTICS FOR THE YEAR OF 1984-85

VERIFICATION SECTION

IULC 1. Order Requests (MPR's) received ________

IULC 2. Order Requests (MPR's) searched ________

IULC 4. Gifts Processed

a. Other than government documents ________

b. Government documents ________

OTHER INFORMATION:

IULC 5. Approval books processed ________

Titles in file at the end of the month ________

SUBMITTED BY:

SERIALS SECTION

IULC 3. Books rec'd/checked in 2179

a. Periodical backfiles 252 b. Standing Order volumes 1927

IULC 7. New periodicals subscriptions 73

IULC 8. New periodicals subscriptions excluding duplicates 21

IULC 11. New non-periodical serial subscriptions 100

IULC 30. Microfilm reels received 205

'IULC 33. Other microtext pieces received 18,431

SUBMITTED BY:

BOOK ORDER SECTION

IULC 3. Orders placed 7349

IULC 6. Books received 7538

a. Non-book materials received 1 microfilm; 540 microfiche; 400 records; 1 diskette; 1163 slides; 92 cassettes; 23 filmstrips; 30 videocassettes; 10 films 7 recreation kits; 6 posters

SUBMITTED BY:

PHYSICAL PROCESSING SECTION

IULC 15: Volumes bound commercially

a. Serials 5146

b. Books 5480

IULC 16: Volumes bound in house (including pamphlets) 646

SUBMITTED BY:

CLEVELAND STATE UNIVERSITY LIBRARIES
TECHNICAL SERVICES DIVISION

Report Year Date 1984-85

CATALOGING AND ADDED VOLUMES STATISTICS

IULC NO.	TOTAL	MONOGRAPHS	PERIODICALS	SERIALS
22. New titles	16,084	15,462	[b] 157	465
22A. New non-book titles cataloged:	351	351	0	0
23. Total volumes added:	27,215	18,082	[c] 4,982	4,156
24. Volumes withdrawn:	8,465	7,683	0	882
28. Total original cataloging:	879	830	7	42
29. Catalog copy furnished by OCLC:	15,117	14,561	184	377
30. Microfilm reels added:	235	30	196	9
31. Microfilm reels withdrawn:	0	0	0	0
33. Other microtext pieces added:	18,431	0	1,892	16,539
34. Other microtext pieces withdrawn:	1,794	0	0	1,794
6. Non-book pieces added:	682	682	0	0
37. Non-book pieces withdrawn:	0	0	0	0
24A. Titles withdrawn:	4,945	4,846	22	77

a. Serials as used in this form designate classified serial publications as opposed to the titles in the periodicals collection.

b. Periodicals added to the print-out.

c. Includes periodical volumes commercially bound for the library, volumes purchased and/or received in bound form, and volumes bound in temporary binding or pam binding by library staff.

CUMULATIVE STATISTICS

	Previous Year Grand Total	Current Year		Grand Total to Date
		Added	Withdrawn	
TITLES				
MONOGRAPHS	320,477	15,462	4,846	331,093
PERIODICALS	6,779	[d] 157	22	[e] 6,914
SERIALS	8,451	465	77	8,839
VOLUMES				
MONOGRAPHS	415,979	18,082	7,683	426,378
PERIODICALS	102,357	4,982	0	107,339
SERIALS	125,412	4,156	882	128,686
ICROFORMS: REELS	10,674	235	0	10,909
FICHE	98,172	(3686) 18,431	(460) 2,298	101,398
A/V	9,983			

d. Includes new subscriptions (pd. and free) and new titles resulting from title changes, mergers, and other serials changes.

e. Lacks the number of titles added Feb.-June 1979

CLEVELAND STATE UNIVERSITY LIBRARIES
TECHNICAL SERVICES DIVISION

SHELFLIST COUNT FOR MEDIA

Reporting Year 1984-85

bmitted by

	a Titles	b Total Pieces	c Withdr. Pieces		d Titles	e Total Pieces	f Withdr. Pieces
Audio cstte	42	49		12) Mic/1 (Microfilms)	1	30	
Audio discs	194	395		13) Mic/7,8,9 (Microfiche		1	
Audio tapes				14) Mic (Ultra microfiche)			
C[illegible]u code book				15) Photos			
Compu mnual				16) Slides	6	13	
Compu tapes				17) Trans (Overhead transparencies)			
Fmlp (Film Loops)	9	10		18) Video cstte	76	129	
Fmstr (Film Strips)	3	10		19) Video tapes			
Kit (Multimedia kits)				20) Books, manuals or guides with media		144	
Mfilm (Motion pictures)	19	30					
Maps		15					

350 total titles
826 total pieces

CLEVELAND STATE UNIVERSITY LIBRARIES
TECHNICAL SERVICES DIVISION CATALOGING STATISTICS
SUBJECT ADDITIONS BY TITLE AND VOLUMES

Report Year Date 1984-85

SUBJECT	LC CLASSIFICATION	TITLES ADDED	TOTAL VOLUMES ADDED
General Works	A	251	396
Philosophy	B-Be, BH-BJ	234	273
Psychology	BF	337	440
Religion	BL-BX	526	581
History, Other, General	C-D	192	268
English History	DA	159	184
Classical History	DE	7	7
European History	DB-DD, DF-DR	316	391
Asian History	DS	251	299
African History	DT	77	119
History, Other	DU, DX	8	10
U.S. History	E-E 135,E186-415,E456-F975	440	629
Black Studies	E184-185, E441-453	100	120
Canadian History	F 1001-1140	4	7
Latin American History	F 1200+	116	139
Geography	G-GF	150	181
Anthropology	GN	92	104
lklore	GR	17	20
ustoms	GT	14	17
Sports	GV	189	214
Social Sciences (General)	H	54	66
Statistics	HA	52	179
Economics, Business	HB-HJ	1,983	2,962
Sociology	HM-HS, HT400-850,HT1500-600	504	574
Urban Studies	HT 1-399	67	83
Black Studies	HT 851-1499	13	13
Social Service	HV	327	417
Socialism, Etc.	HX	46	65
Political Science	J	361	576
Law	K	247	707
Education	L	801	984
Music	M-ML 3555, ML 3562-MT 960	919	1,117
Jazz	ML 3556-61	11	11
Fine Arts	N-NA 8480, NB-NX	462	574
Urban Studies	NA 9000-9425	2	5
Linguistics	P 1-86, P 105+	103	138
Communications	P 87-104	34	41
Classics	PA	163	200
Modern Languages	PB-PM, PQ, PT	864	989
English/American Language & Literature	PN 1-1551, PN 3311-4000, PN 6000-7000, PR, PS 1-507,	1,363	1,666
	PS 509-PZ	90	129
rforming Arts	PN 1560-3299	142	168
ratory	PN 4000-4500	11	14
Journalism	PN 4600-6000	38	59

SUBJECT	LC CLASSIFICATION	TITLES ADDED	TOTAL VOLUMES ADDED
Black Literature	PS 508	0	4
Fiction	PZ	67	76
Science, General, Other	Q, QB	181	138
Math	QA	349	424
Physics	QC	216	618
Chemistry	QD	119	219
Geology	QE	156	283
Biology	QH,QK,QL,QM,QP,QR,S	330	480
Medicine	R	686	829
Engineering & Technology	T	843	1,335
Military & Naval Science	U, V	133	156
Bibliography & Library Science	Z	451	1,097

[illegible]
Monographs
1-16-86

Forms Used in Monographs Division

Approval Shipment Notification

Batch Slip

Binding Slip

Book Order Unit Series/Serials Decision Slips

Cancellation Notice

Cataloger's Statistics Form

Cataloging Search Slip

Claim Form

CRT Data Form

Cata Control to Computer Center (3 different forms)

Disbursements

Error Report

Green OCR input Sheets

Incedent Report

Intra Library Supply Requisition

Letterhead (CSU Stationary)

Media Preview Form

Memorandums (Long and Short)

Monograph Arrearage (Corporate Bodies)

Monograph Work Form

Monthly Cataloging Statistics (Cataloging and Added Volumes Statistics)

MPR's

NPR (Cataloging Copy , Single sheet)

OCR Correction Sheets

OCR Form (2 forms)

1. For Ordering Book
2. For Removing Purchased items to Circulation

Pink OCR Input Sheets

Purchase Order

Record of Hours Worked (Time Sheet)

Reference SWeeP Form

Shelflist Count for Media

Sick Leave Form

Slip for Packed Green Sheet for New Books

Special Handling Slip

Special Loan Form

Subject Guides Needed

Tags (Pink-Ref, Light blue-Added volume, Yellow-Rush, Dark blue-Rush Reserve, Green-Contemporary Poet)

Temporary Shelflist Slip

Vacation Form

SC 1/15/86

Serials
1-16-86

CSU Cleveland State University

University Libraries

1860 East 22nd Street
Cleveland, Ohio 44115-2403

Telephone: (216) 687-2475
Telex: 810-421-8252

Forms used by Serials Cataloging Unit

- Serials Cataloging Workform
- Standing Order Routing Slip (Lib. Ser. 83-1)
- Periodicals Routing Slip
- Government Documents Routing Slip (Lib. Ser. 85-8)
- Serials Master File Update (Lib. Ser. 82-6)
- OCR form (LB25 rev. 9/83)
- Serial Discontinuance (ceased) (Lib. Ser. 85-2)
- Serial Discontinuance (cancellation) (Lib. Ser. 85-3)
- Kardexes:
  - Periodical
  - Classed serial, bound vol. (Lib. Ser. 83-2)
  - Classed serial, current issue (Lib. Ser. 83-3 and Lib. Ser. 83-4)
  - Temporary kardex (Lib. Ser. 82-3)
  - White card for monographs
- MPR (cataloging copy)
- Reference Sweep cards
- Call-to-bind (Lib. Ser. 83-5/Rev.)
- Missing serial (Lib. Ser. 82-4)

ROCS- Cataloging
1-14-86

Flow charts
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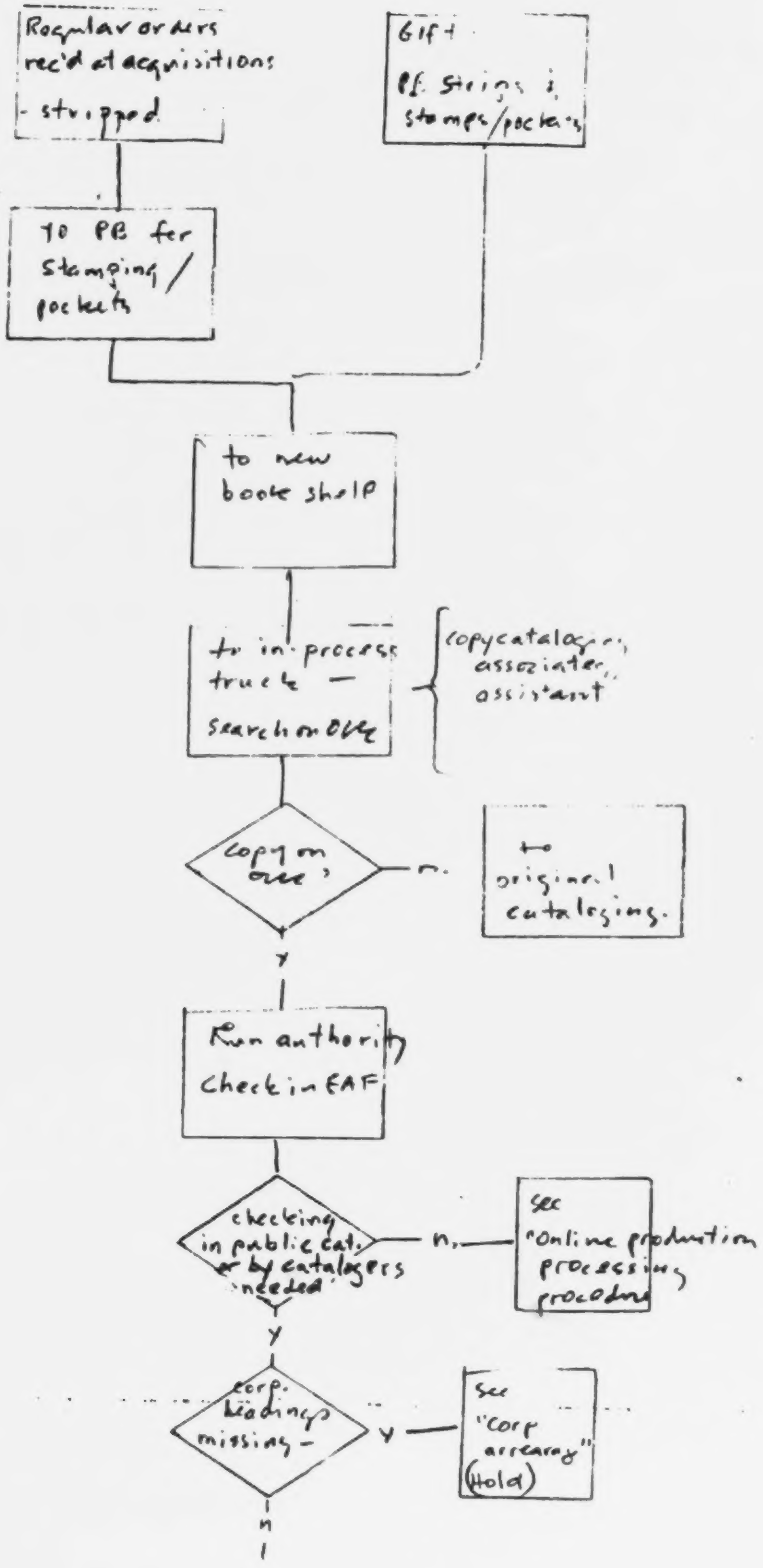
1) Monographs books processing overview. p.1

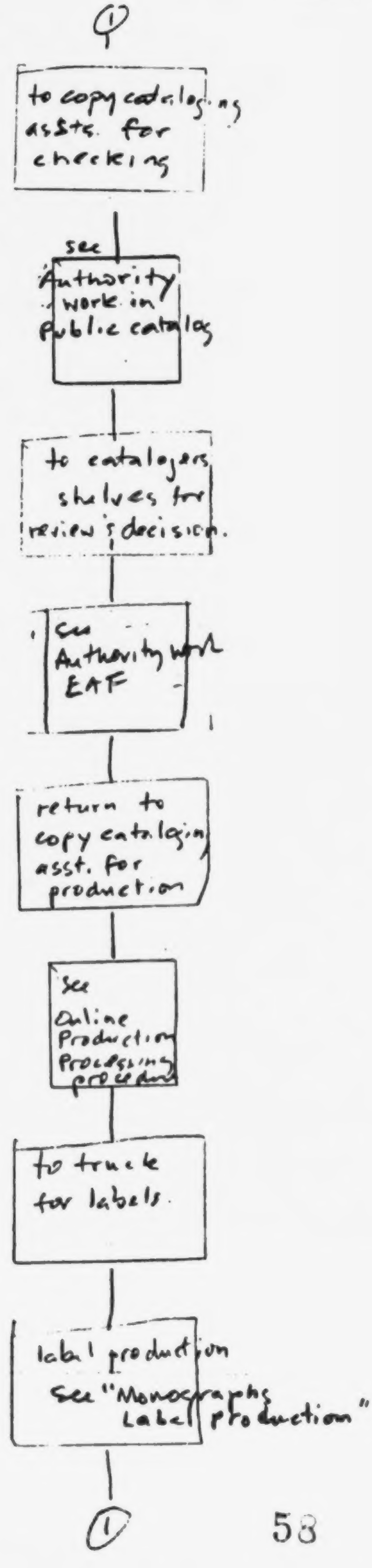
ROCS cataloging
Monographs
1-13-86

Note: Priority books not held for corp. arrearage >given directly to searchers - catalogers.


Regular orders rec'd at acquisitions - stripped
Gift - P.f. strips, stamps/pockets
To PB for stamping / pockets
to new book shelf
to in-process truck - search on OCLC
copy catalogers, associates, assistant
copy on OCLC?
n.
to original cataloging.
Y
Run authority check in EAF
checking in public cat. or by catalogers needed
n.
see "online production processing procedures"
Y
corp. headings missing -
Y
see "corp arrearage" (Hold)
n
C

1) Monographs books processing overview p.2

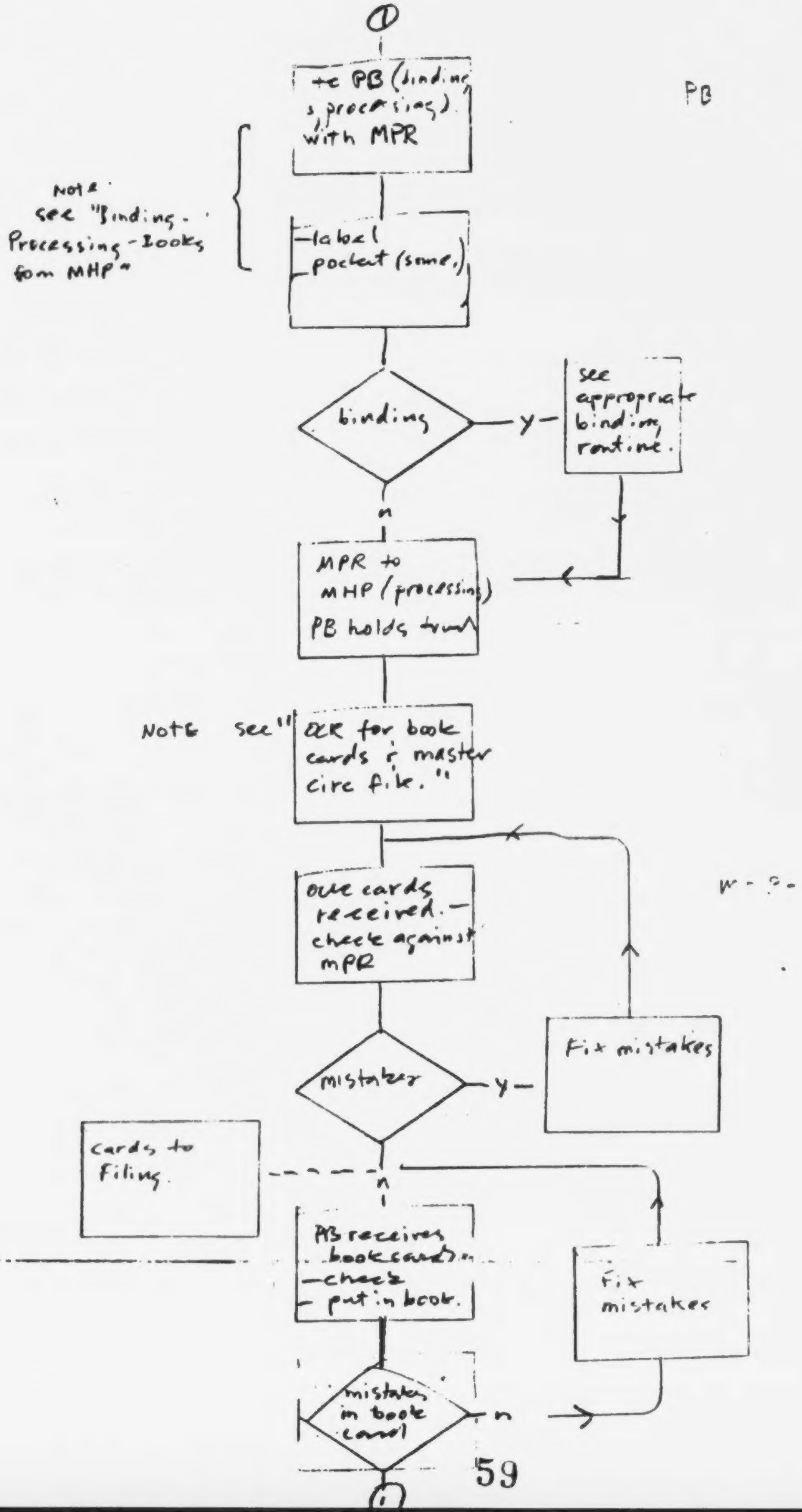
ROCS cataloging
Monographs
1-13-86


1
to copy cataloging assts. for checking
see Authority work in public catalog
to catalogers shelves for review & decision.
see Authority work EAF
return to copy cataloging asst. for production
see Online Production Processing procedure
to truck for labels.
label production see "Monographs Label Production"
1

OPPP

1) Monographs books processing overview p3

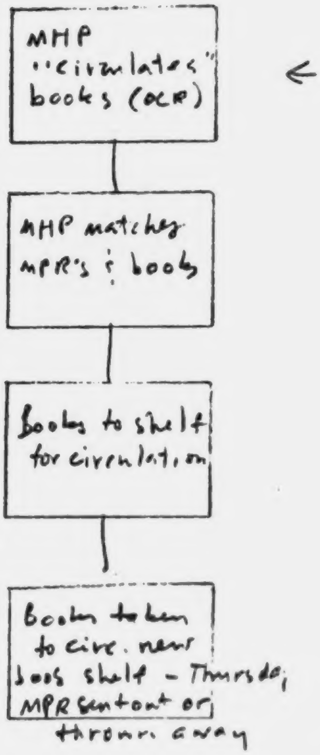
RDCS cataloging,
monographs:
1-13-86.


①
to PB (binding, processing) with MPR
PB
Note: see "Binding-Processing-Books from MHP"
-label
-pocket (some)
binding
y
see appropriate binding routine.
n
MPR to MHP (processing)
PB holds trunk
Note see "OCR for book cards c̄ master circ file."
OCR cards received. -check against mPR
w - ?.
mistakes
y
Fix mistakes
n
Cards to Filing.
PB receives book cards
-check
-put in book.
Fix mistakes
mistakes in book card
n
①

1) Monographs books processing overview p 4

RCCS cataloging
monographs
1-14-86

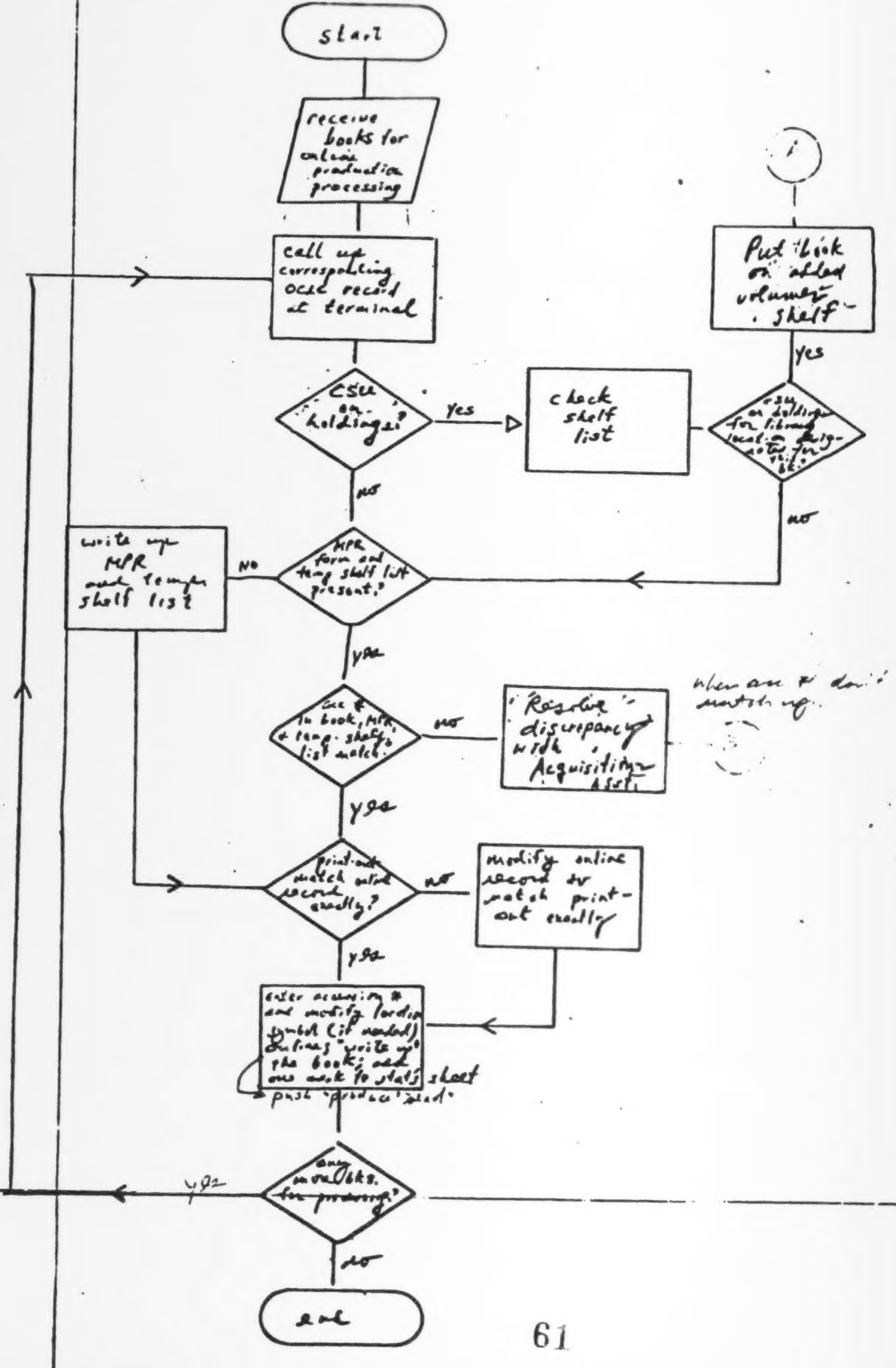
①


MHP "circulates" books (OCR)
MHP matches MPR's & books
Books to shelf for circulation
Books taken to circ. new books shelf - Thursday
MPR sent out or thrown away

← see "OCR run to circulate books"

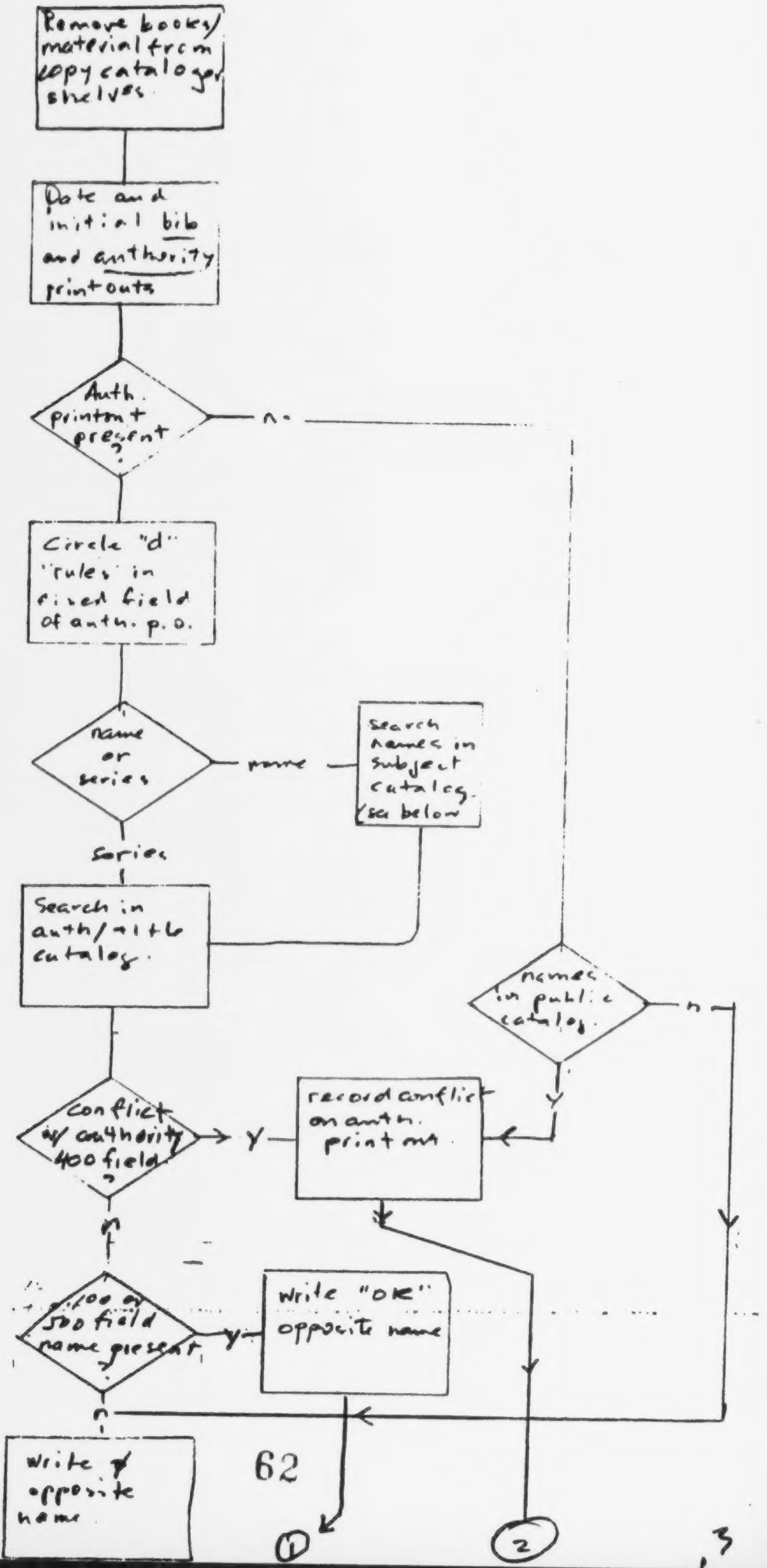
2) Online Production Processing Procedure

Library Automation


start
receive books for online production processing
call up corresponding OCLC record at terminal
CSU on holdings?
yes
check shelf list
CSU on holdings for library location designator for this bk.
yes
Put book on added volumes shelf
1
no
no
MPR form and temp shelf list present?
NO
write up MPR and temp. shelf list
yes
acc # in book, MPR, + temp. shelf list match
no
Resolve discrepancy with Acquisitions Asst.
when acc # don't matching
yes
print-out match online record exactly?
no
modify online record to match print-out exactly
yes
enter accession # and modify location symbol (if needed) Online; "write up" the book; add one mark to stats sheet
push "produce" key
any more bks. for processing?
yes
no
end

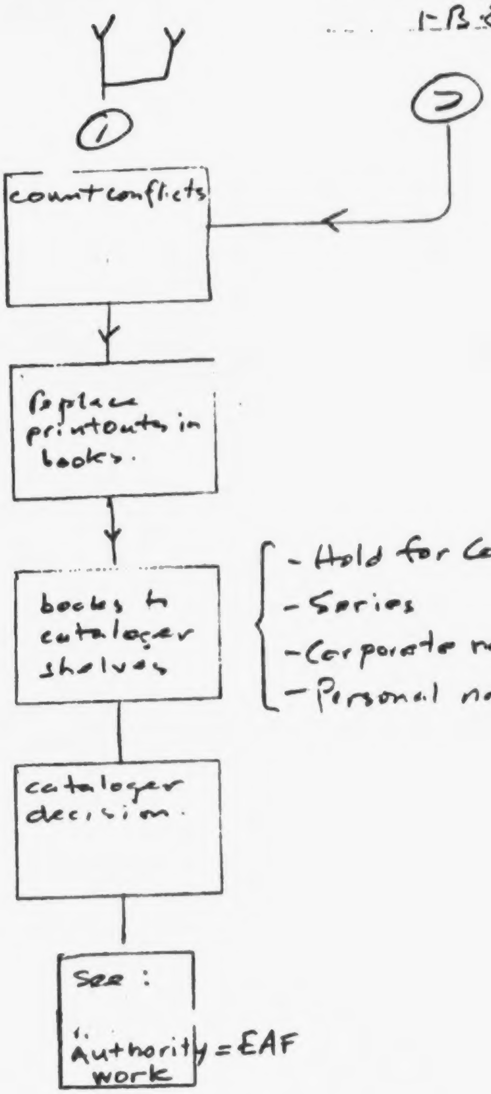
3) Authority work in Public Catalog. p.1

RLCS CATALOGING
monographs
1-13-86


Remove books/material from copy cataloger shelves
Date and initial bib and authority printouts
Auth. printout present?
n
Circle "d" "rules" in fixed field of auth. p.o.
name or series
name
Search names in subject catalog. (see below
series
Search in auth/title catalog.
names in public catalog.
n
y
conflict w/ authority 400 field?
y
record conflict on auth. printout.
n
100 or 500 field name present?
y
Write "OK" opposite name
n
Write ∅ opposite name
1
1
2
3

3) Authority work in Public Catalog - (p. 2)

Rocs Cataloging.
monographs
1-13-86.

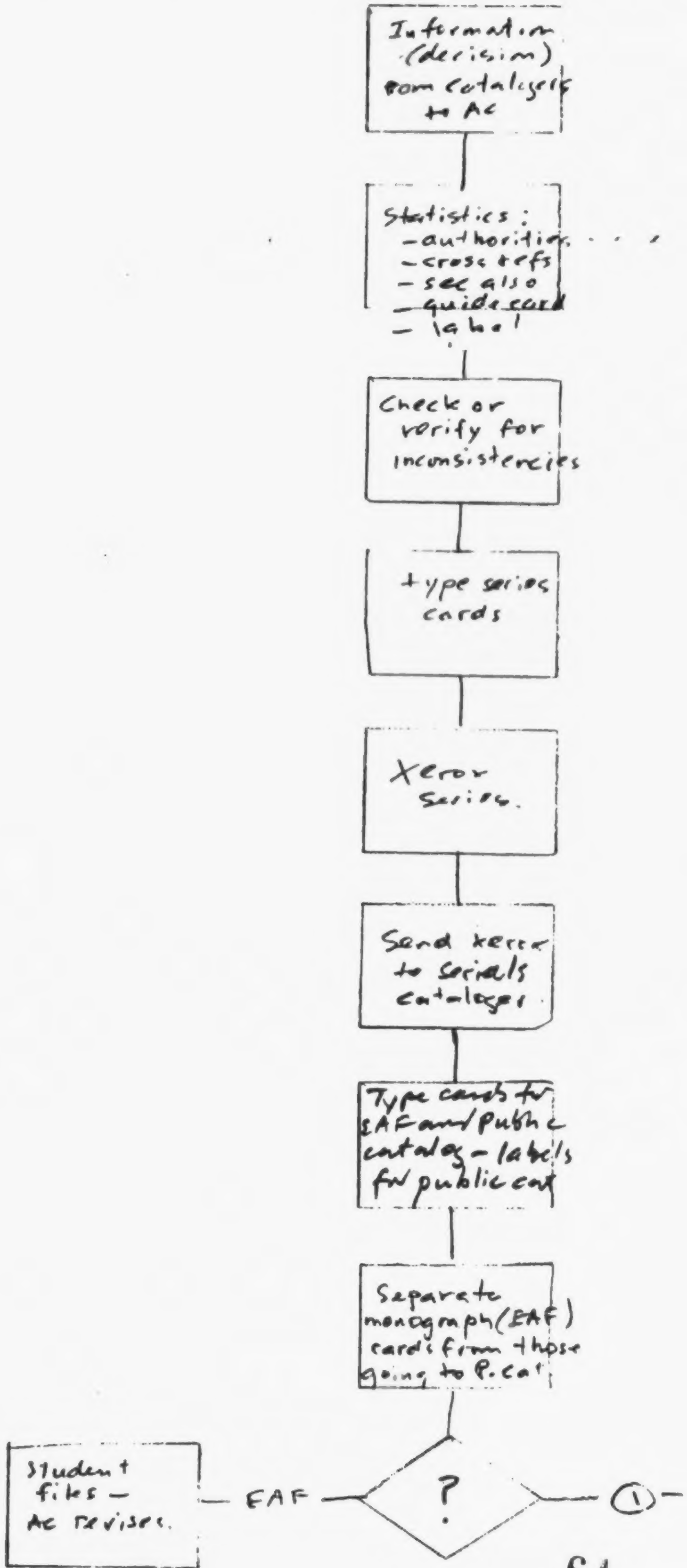


①
②
count conflicts
replace printouts in books.
books to cataloger shelves
cataloger decision.
See :
Authority work
= EAF

- Hold for Corp. entry
- Series
- Corporate name or Uniform title
- Personal name.

4) Authority Work = EAF p.1

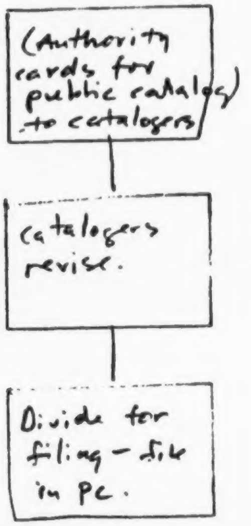
ROCS cataloging
- monographs
1-13-86.


Information (decision) from catalogers to AC
Statistics:
-authorities
-cross refs
-see also
-guide card
-label
Check or verify for inconsistencies
type series cards
Xerox series.
Send xerox to serials cataloger
Type cards for EAF and/public catalog - labels for public cat
Separate monograph (EAF) cards from those going to P.cat
?
EAF
Student files — AC revises.
①

see p.2.

4) Authority work- EAF (p.2)

ROCS cataloging
monographs.
1-13-86.


(Authority cards for public catalog) to catalogers
catalogers revise.
Divide for filing - file in PC.

5 Front arrearage.

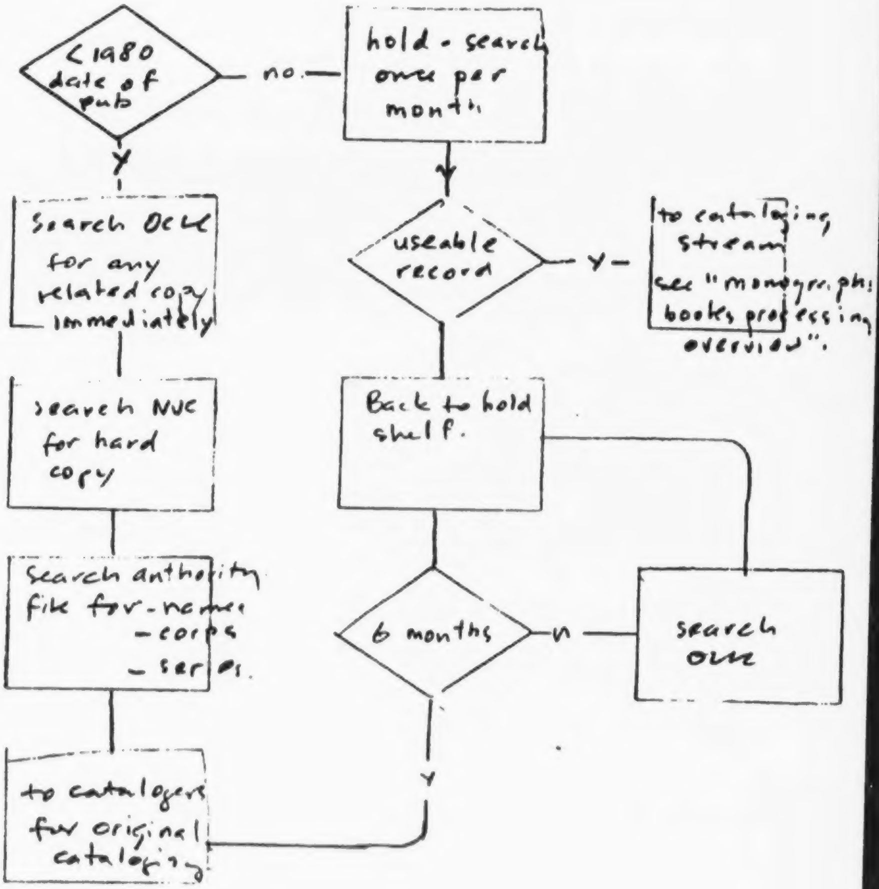
Rocs cataloging.
Monographs
1-13-86

= Books put on in process shelf for cataloging
  1. no copy
  2. unusable or confusing catalog record
  3. no copy now - will be available later

= all held 6 months

= checked first of month

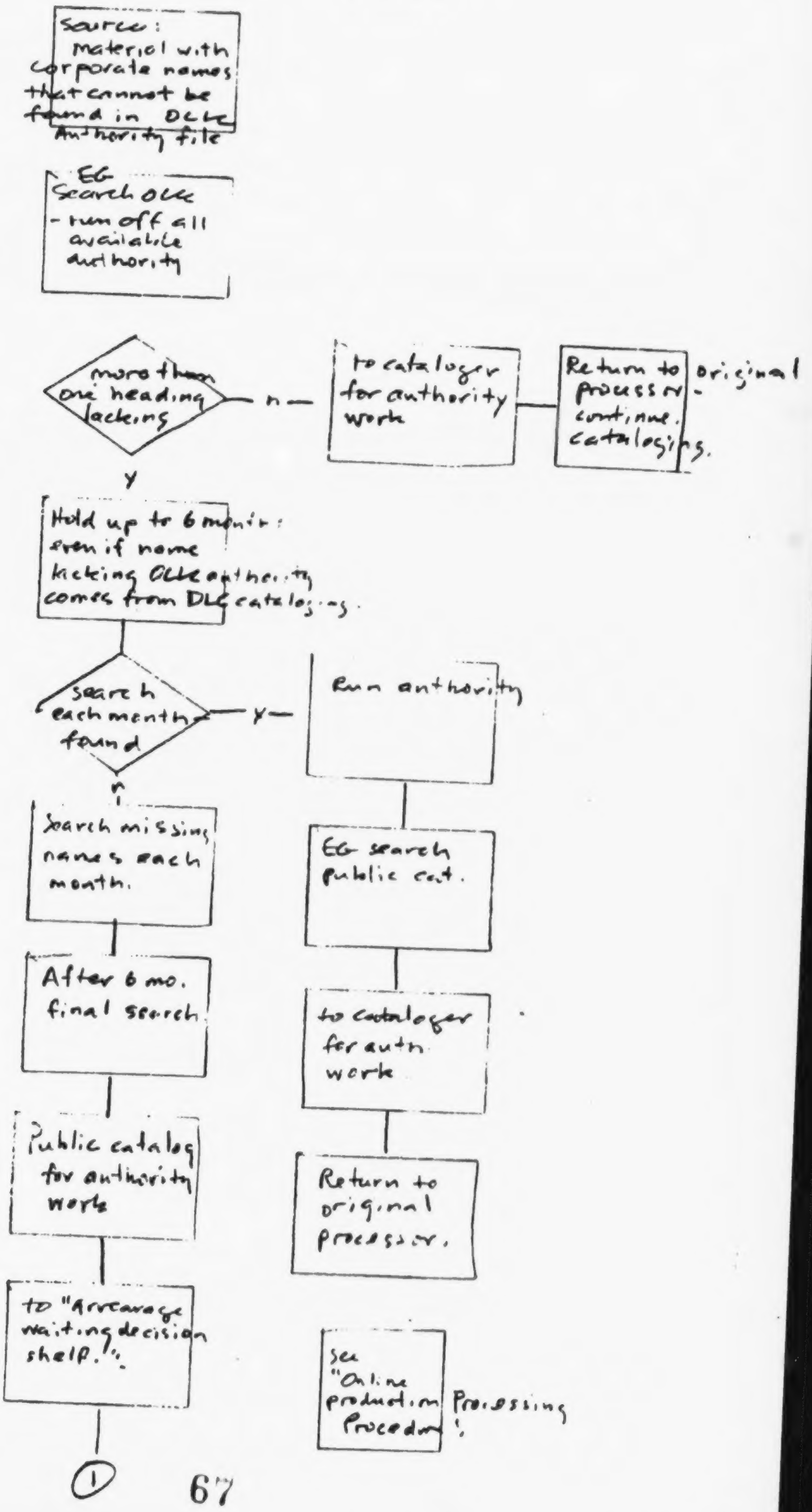
= 15 hr per month



<1980 date of pub
no
hold - search once per month
Y
Search OCLC for any related copy immediately
useable record
Y
to cataloging stream
see "monographs books processing overview".
search NUC for hard copy
Back to hold shelf.
Search authority file for - names - corps - series.
6 months
n
search OCLC
Y
to catalogers for original cataloging

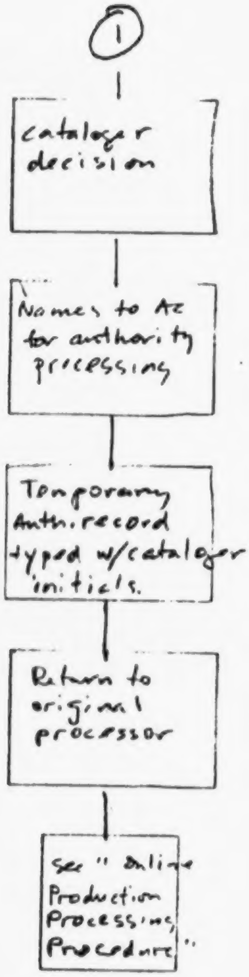
b) CORPORATE Arrearage p.1

- ROCS cataloging
- monographs
1-13-86


Source: material with corporate names that cannot be found in OCLC Authority file
EG Search OCLC - run off all available authority
more than one heading lacking
n
to cataloger for authority work
Return to original processor - continue cataloging.
Y
Hold up to 6 months: even if name lacking OCLC authority comes from DLC cataloging.
search each month found
Y
Run authority
n
Search missing names each month.
EG search public cat.
After 6 mo. final search
to cataloger for auth work
Public catalog for authority work
Return to original processor.
to "Arrearage waiting decision shelf."
see "Online production Processing Procedure".
①

⑥ Corporate arrearage p.2

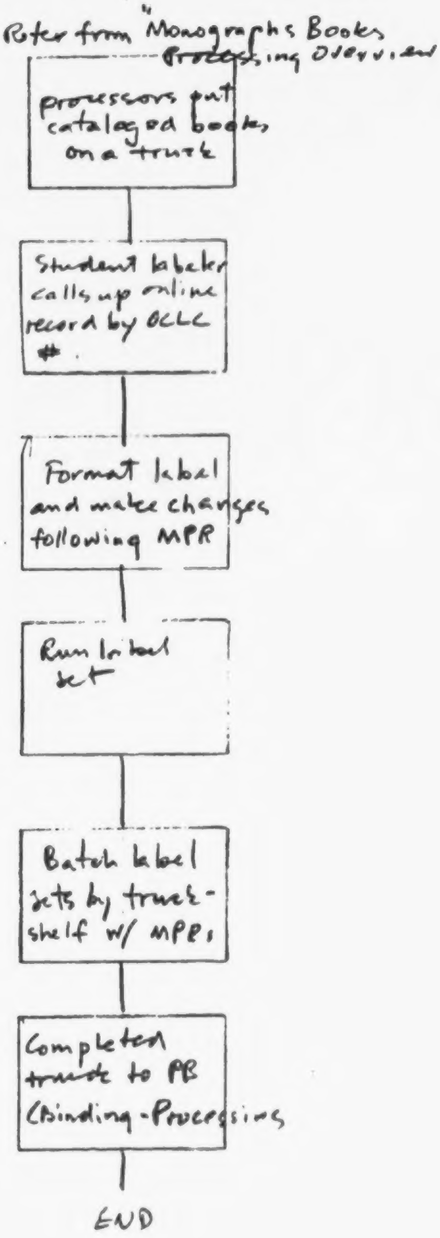
RoCS cataloging
monographs
1-13-86


①
cataloger decision
Names to AC for authority processing
Temporary Authirecord typed w/cataloger initials.
Return to original processor
See "Online Production Processing Procedure"

= Once a year, the EAF is purged of temporary headings.

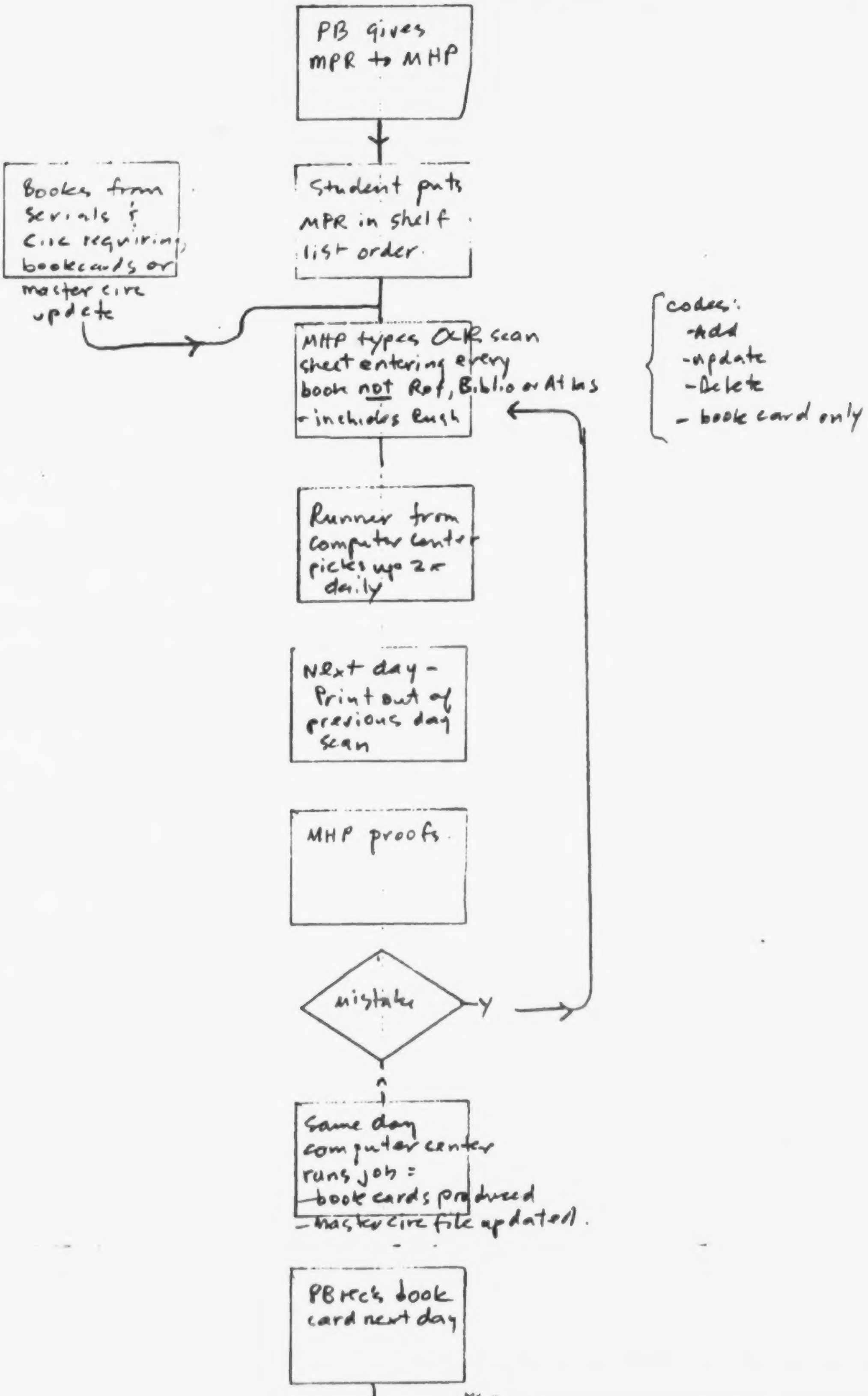
7) Monographs label production

ROCS cataloging
Monographs
1-14-86.


Enter from "Monographs Books Processing Overview
processors put cataloged books on a truck
Student labeler calls up online record by OCLC #.
Format label and make changes following MPR
Run initial set
Batch label sets by truck-shelf w/ MPRs
Completed truck to PB (Binding-Processing
END

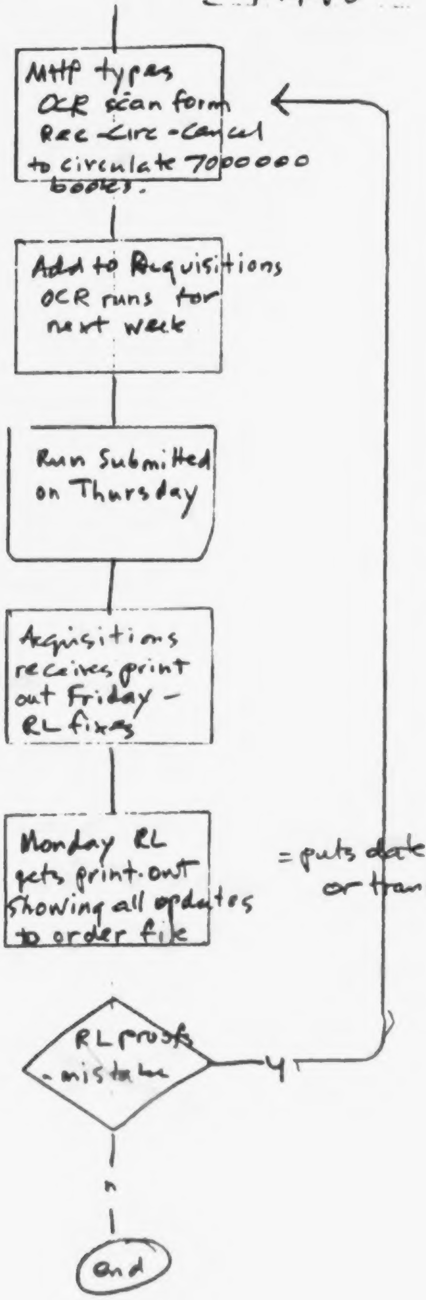
e) OCR run for Book card & Master Circ file

ROCS - Cataloging
Monographs
1-14-86


PB gives MPR to MHP
Student puts MPR in shelf list order.
Books from serials & circ requiring bookcards or master circ update
MHP types OCR scan sheet entering every book not Ref, Biblio or Atlas
- includes Rush
codes:
-Add
-update
-Delete
- book card only
Runner from computer center picks up 2x daily
Next day - Print out of previous day scan
MHP proofs.
mistake
Y
Same day computer center runs job =
- book cards produced
- master circ file updated.
PB recs book card next day

9) OCR run to circulate books

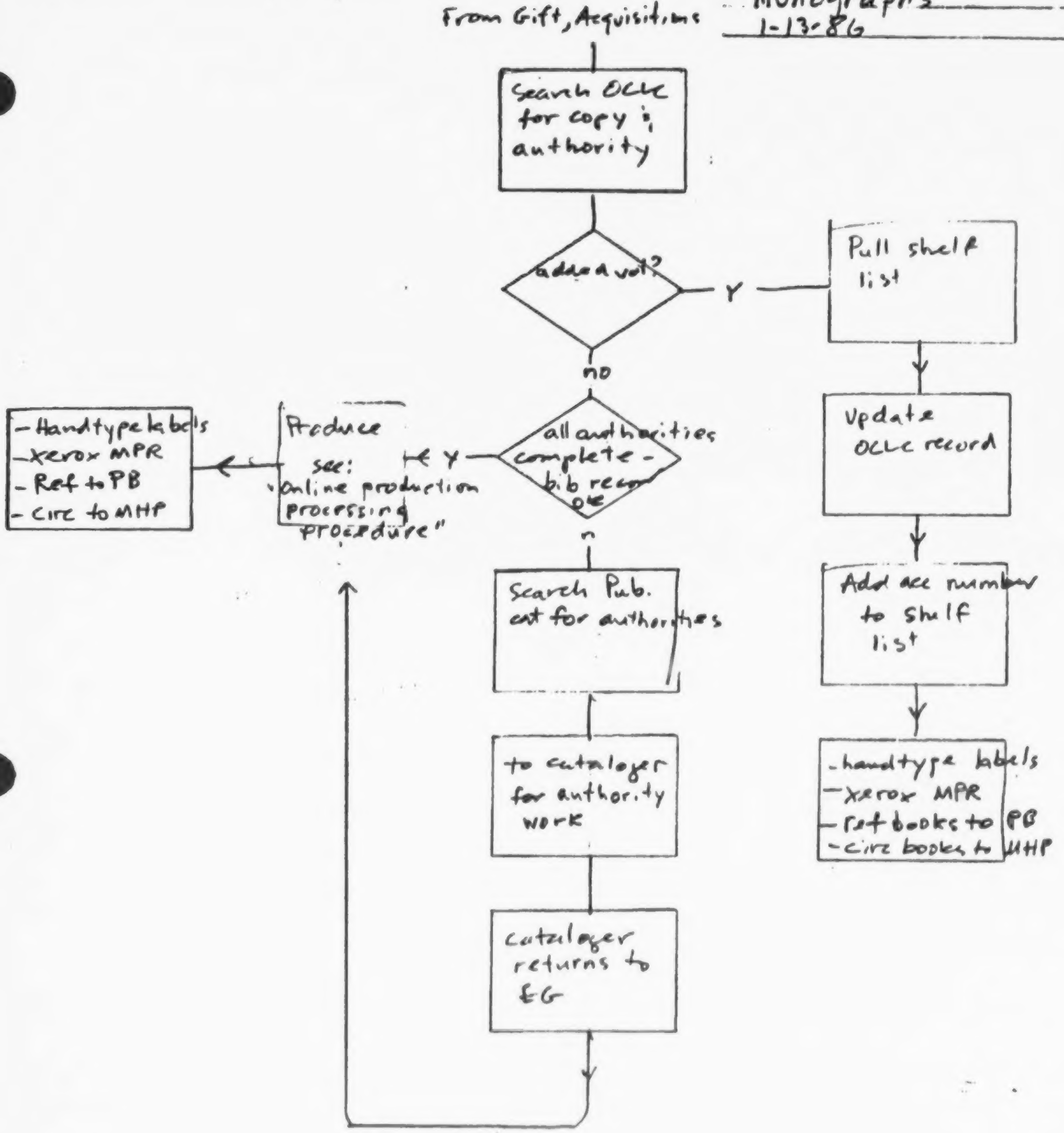
Rocs cataloging
Monographs
1-14-86


MHP types OCR scan form Rec-Circ-Cancel to circulate 7000000 books.
Add to Requisitions OCR runs for next week
Run Submitted on Thursday
Acquisitions receives print out Friday - RL fixes
Monday RL gets print-out showing all updates to order file
RL proofs - mistake
y
n
end

= puts date on order file or transfers to "Book History".

10) Rush cataloging

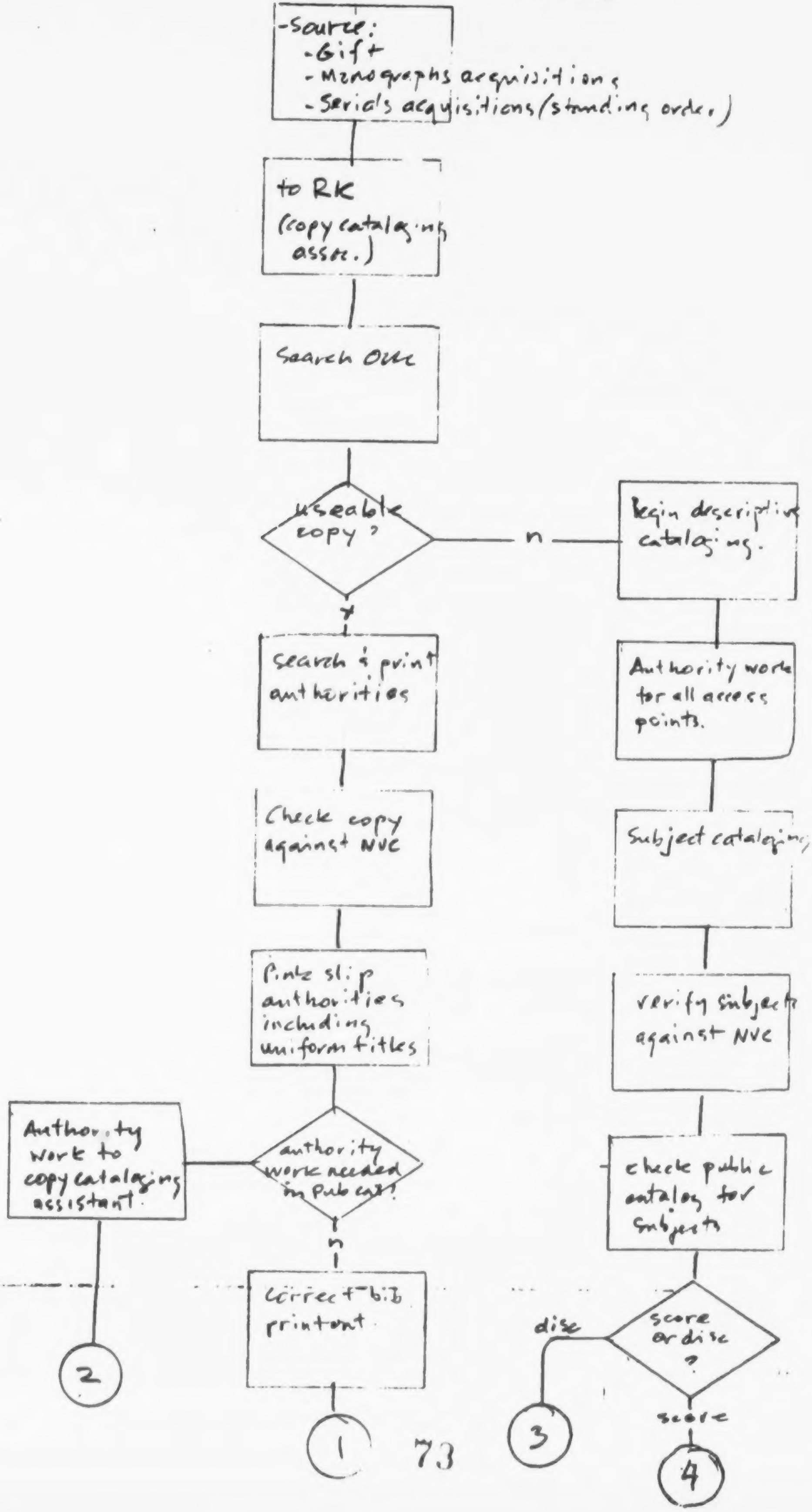
Docs. cataloging
monographs
1-13-86


From Gift, Acquisitions
Search OCLC for copy & authority
add a vol?
Y
Pull shelf list
no
Update OCLC record
Add acc number to shelf list
-handtype labels
-xerox MPR
-ref books to PB
-circ books to MHP
all authorities complete - bib record ok
Y
Produce see: "online production processing procedure"
-Handtype labels
-xerox MPR
-Ref to PB
-circ to MHP
n
Search Pub. cat for authorities
to cataloger for authority work
cataloger returns to EG

10

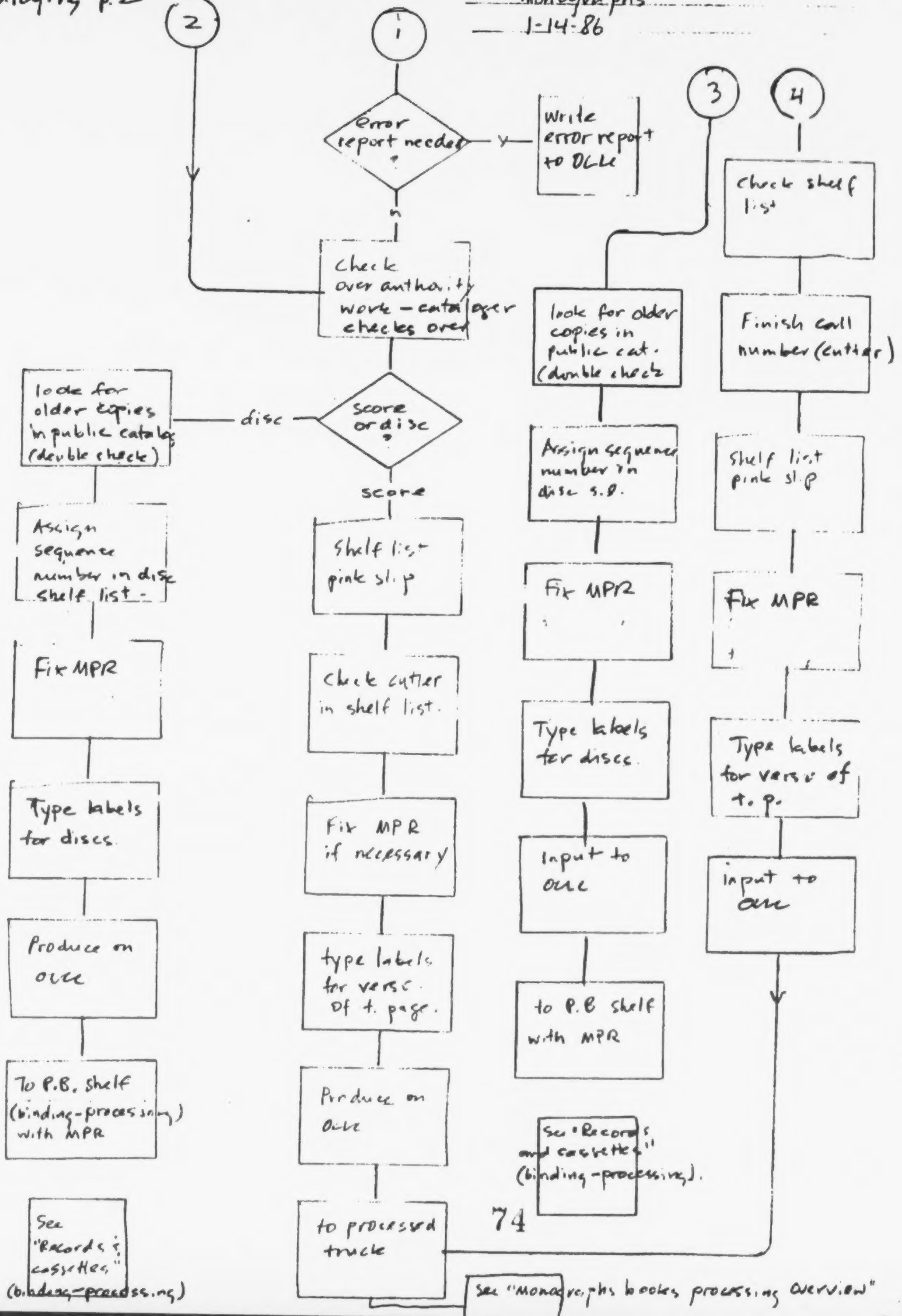
11) Music scores & sound recording cataloging p.1

ROCS - cataloging monographs
1-14-86


-Source:
-Gift
-Monographs acquisitions
-Serials acquisitions (standing order)
to RK (copy cataloging assoc.)
Search OCLC
useable copy?
n
y
Begin descriptive cataloging.
search & print authorities
Authority work for all access points.
Check copy against NUC
Subject cataloging
Pink slip authorities including uniform titles
verify subjects against NUC
Authority work to copy cataloging assistant
authority work needed in pub cat?
n
check public catalog for subjects
correct bib printout
disc
score or disc?
score
2
1
3
4

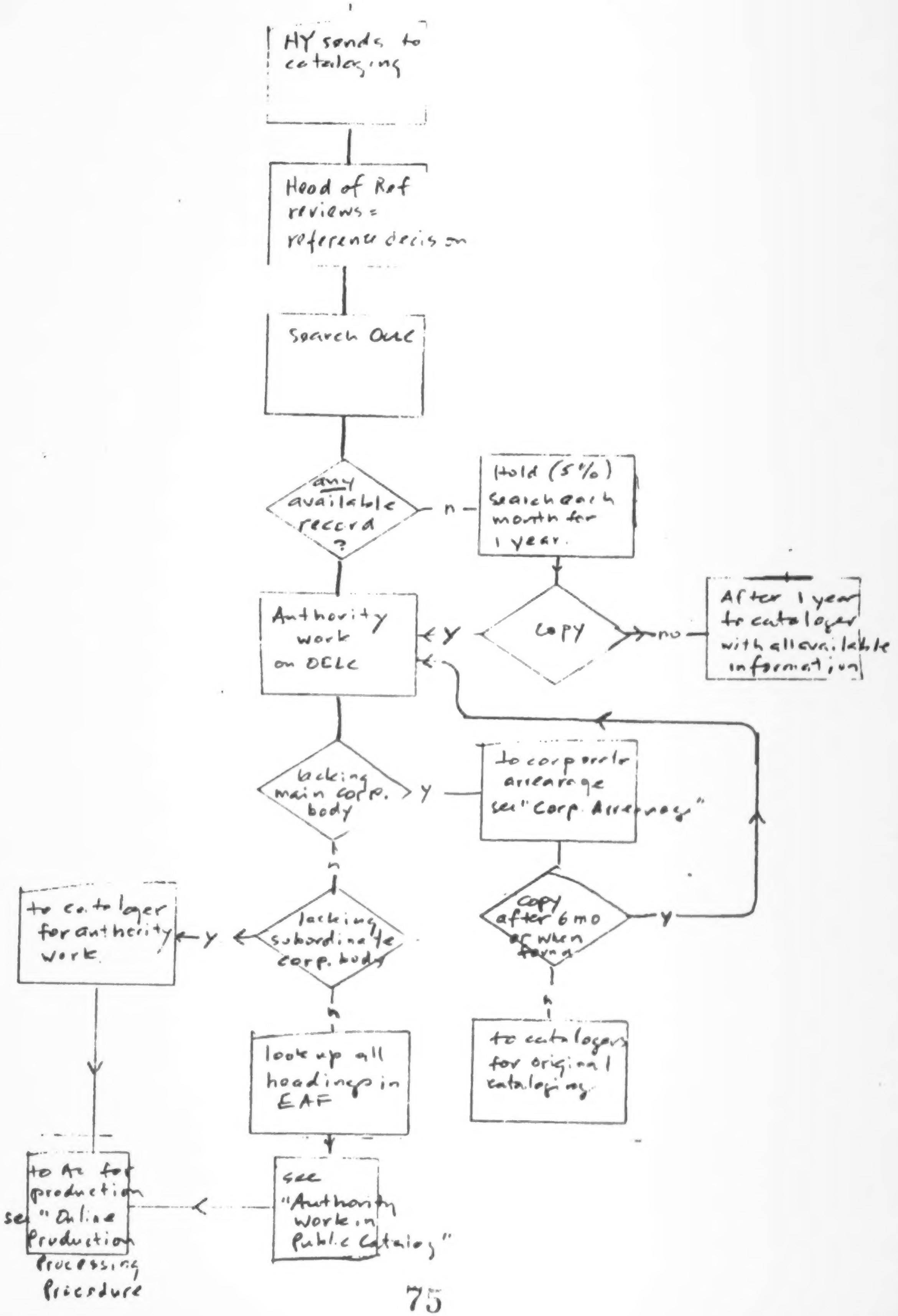
11) Music scores & sound recording cataloging p.2

- RCCS cataloging
- monographs
- 1-14-86


2
1
error report needed ?
y
Write error report to OCLC
n
Check over authority work — cataloger checks over
score or disc ?
disc
look for older copies in public catalog (double check)
Assign sequence number in disc shelf list -
Fix MPR
Type labels for discs
Produce on OCLC
To P.B. shelf (binding-processing) with MPR
See "Records & cassettes" (binding-processing)
score
Shelf list pink slip
Check cutter in shelf list.
Fix MPR if necessary
type labels for verso of t. page.
Produce on OCLC
to processed truck
See "Monographs books processing overview"
3
look for older copies in public cat. (double check
Assign sequence number in disc s.l.
Fix MPR
Type labels for discs
Input to OCLC
to P.B shelf with MPR
See "Records and cassettes" (binding-processing).
4
Check shelf list
Finish call number (cutter)
Shelf list pink slip
Fix MPR
Type labels for verso of t. p.
input to OCLC

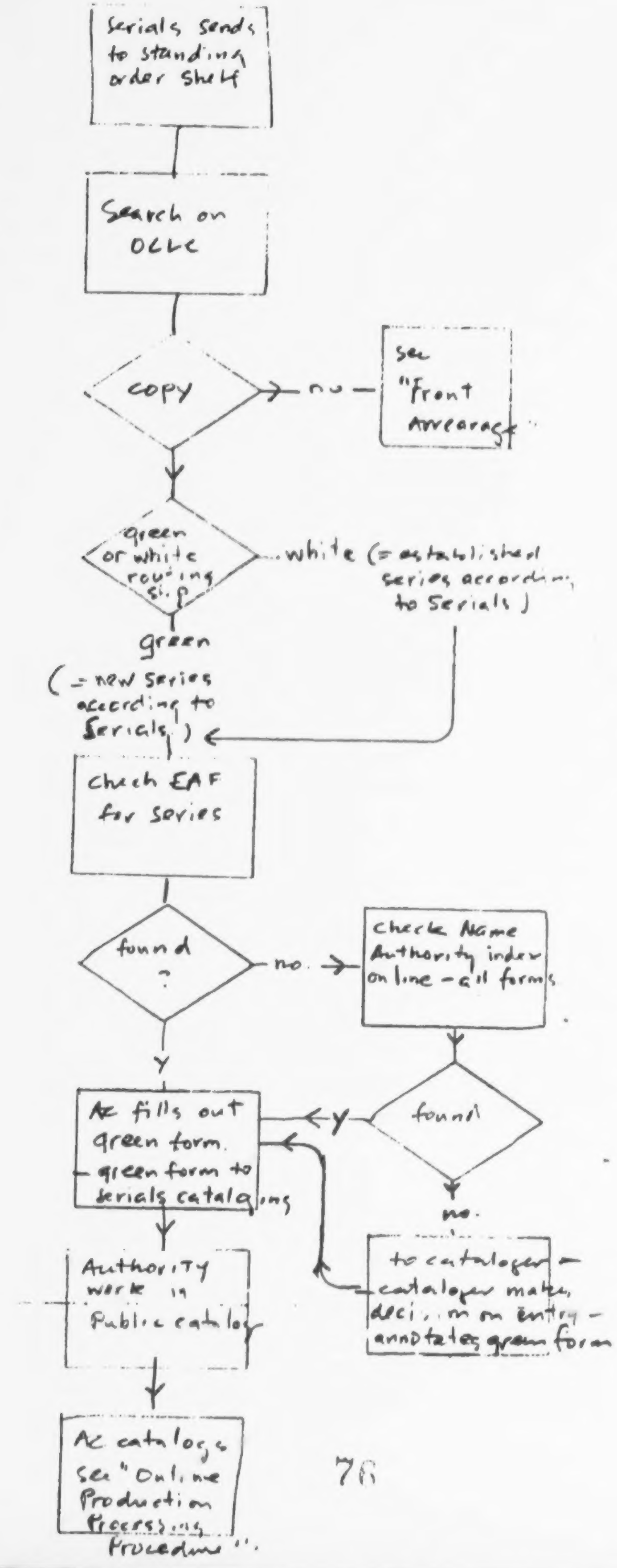
12) Government Documents
(paper docs, monographs)

RDCS cataloging
monographs
1-13-86


HY sends to cataloging
Head of Ref reviews = reference decision
Search OCLC
any available record ?
n
Hold (5%) search each month for 1 year.
copy
no
After 1 year to cataloger with all available information
Y
Authority work on OCLC
lacking main corp. body
Y
to corporate arrearage see "Corp. Arrearage"
n
copy after 6 mo or when form
Y
lacking subordinate corp. body
Y
to cataloger for authority work
n
look up all headings in EAF
n
to catalogers for original cataloging
see "Authority Work in Public Catalog"
to AC for production see "Online Production Processing Procedure"

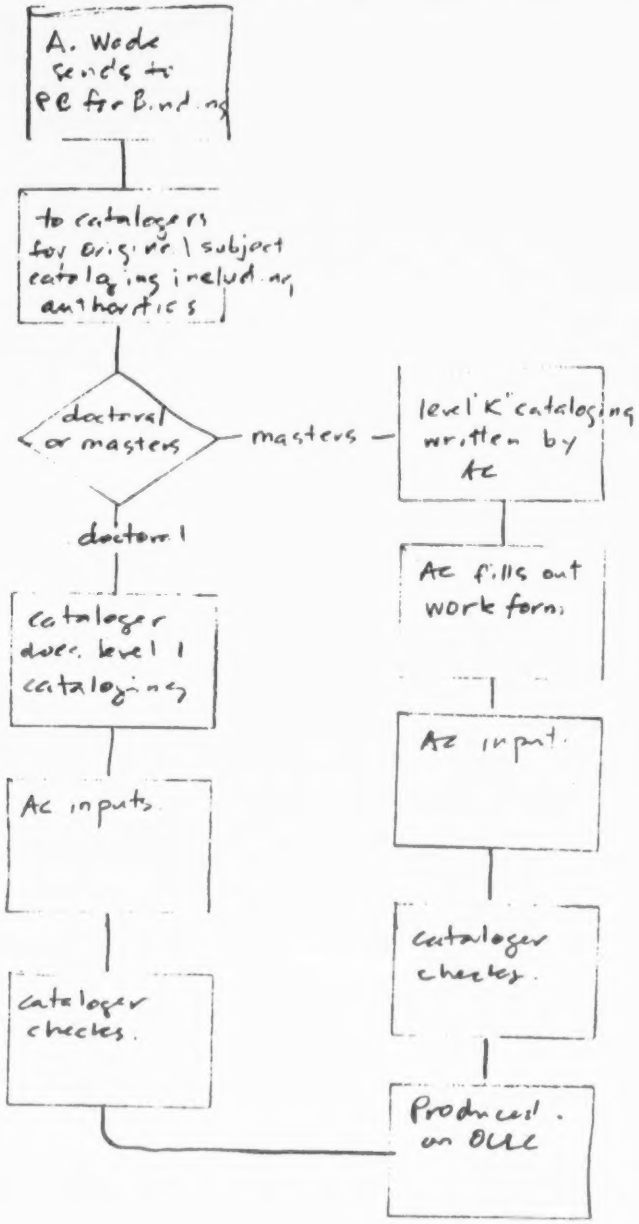
13) Standing Orders monographs

--- [illegible] cataloging
— monographs
1-13-86


Serials sends to standing order Shelf
Search on OCLC
copy
no
see "Front Arrearage"
green or white routing slip
white (= established series according to Serials)
green
(= new series according to Serials)
Check EAF for series
found ?
no.
Check Name Authority index online - all forms
Y
found
Y
no.
AC fills out green form. - green form to serials cataloging
to cataloger - cataloger makes decision on entry - annotates green form
Authority work in Public catalog
AC catalogs see "Online Production Processing Procedures".

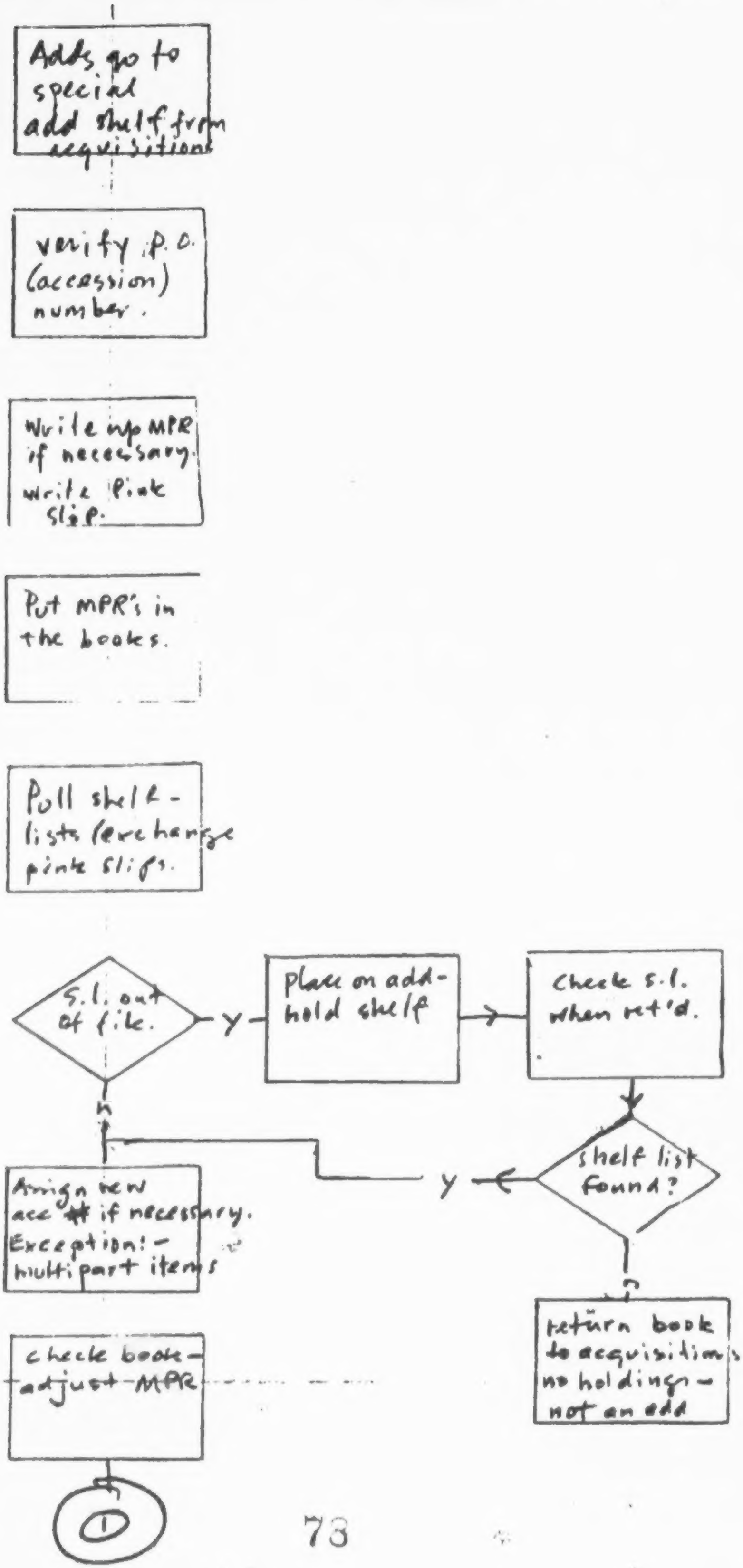
14) Thesis cataloging.

ROCS cataloging
monographs
1-13-86


A. Wade sends to PC for Binding
to catalogers for original subject cataloging including authorities
doctoral or masters
masters
level 'K' cataloging written by AC
doctoral
cataloger does level 1 cataloging
AC fills out work form
AC inputs.
AC input.
cataloger checks.
cataloger checks.
Produced on OCLC

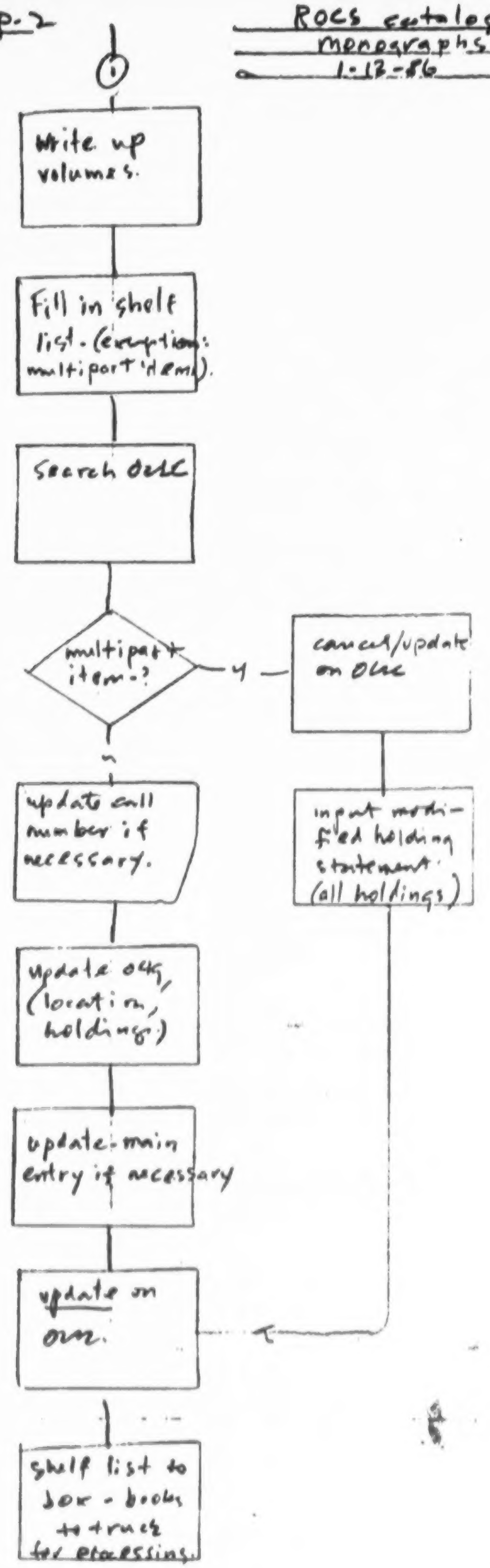
15) Added volumes/copies p.1

Rocs cataloging
monographs
1-13-86


Adds go to special add shelf from acquisitions
verify p.o. (accession) number.
Write up MPR if necessary. write Pink slip.
Put MPR's in the books.
Pull shelf-lists (exchange pink slips.
S.l. out of file.
y
Place on add-hold shelf
Check s.l. when ret'd.
n
shelf list found?
y
n
return book to acquisitions - no holdings - not an add
Assign new acc # if necessary. Exception! - multipart items
check book - adjust MPR
1

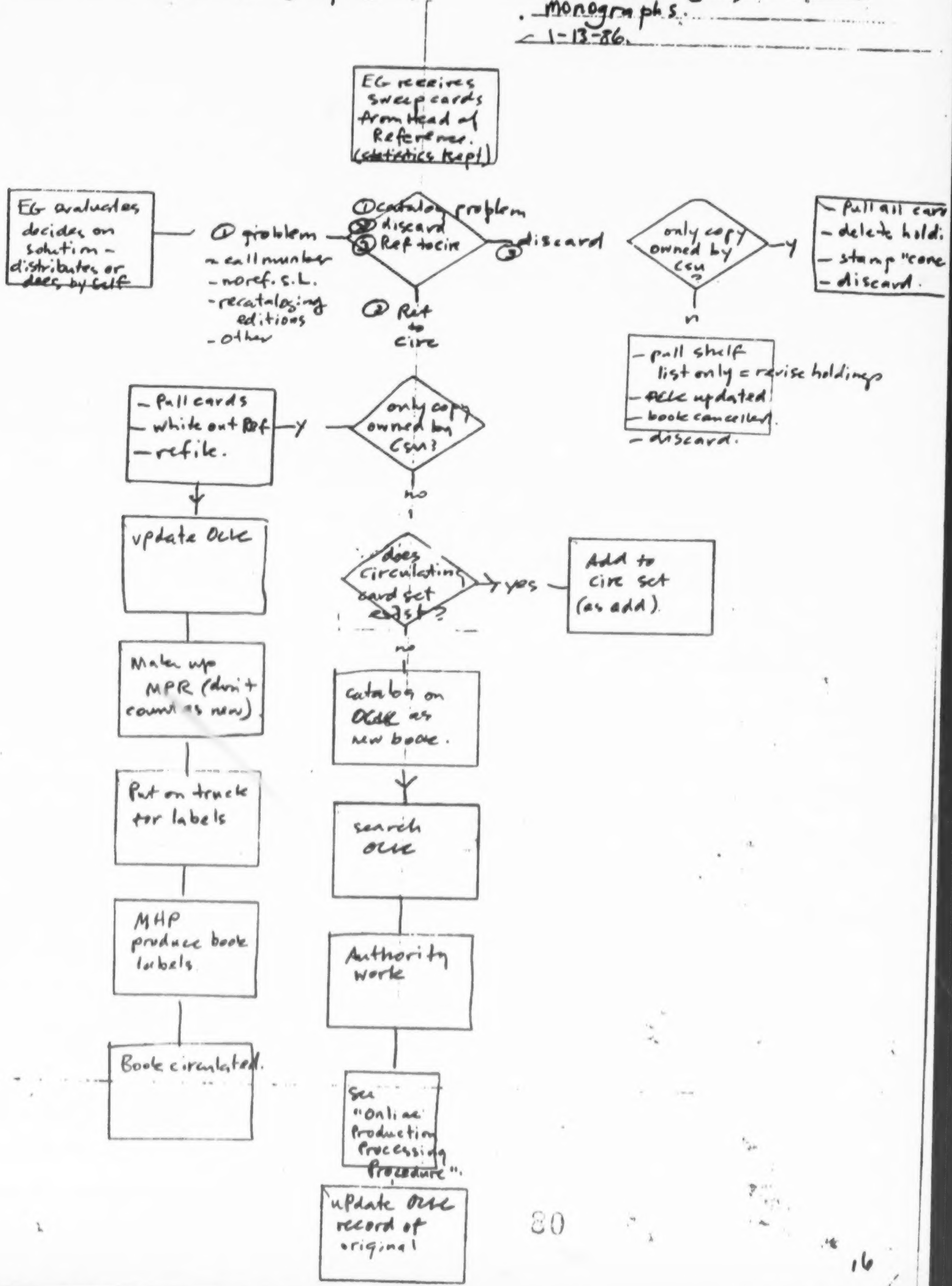
15) Added volumes/copies p. 2

ROCS cataloging
monographs
1-13-86

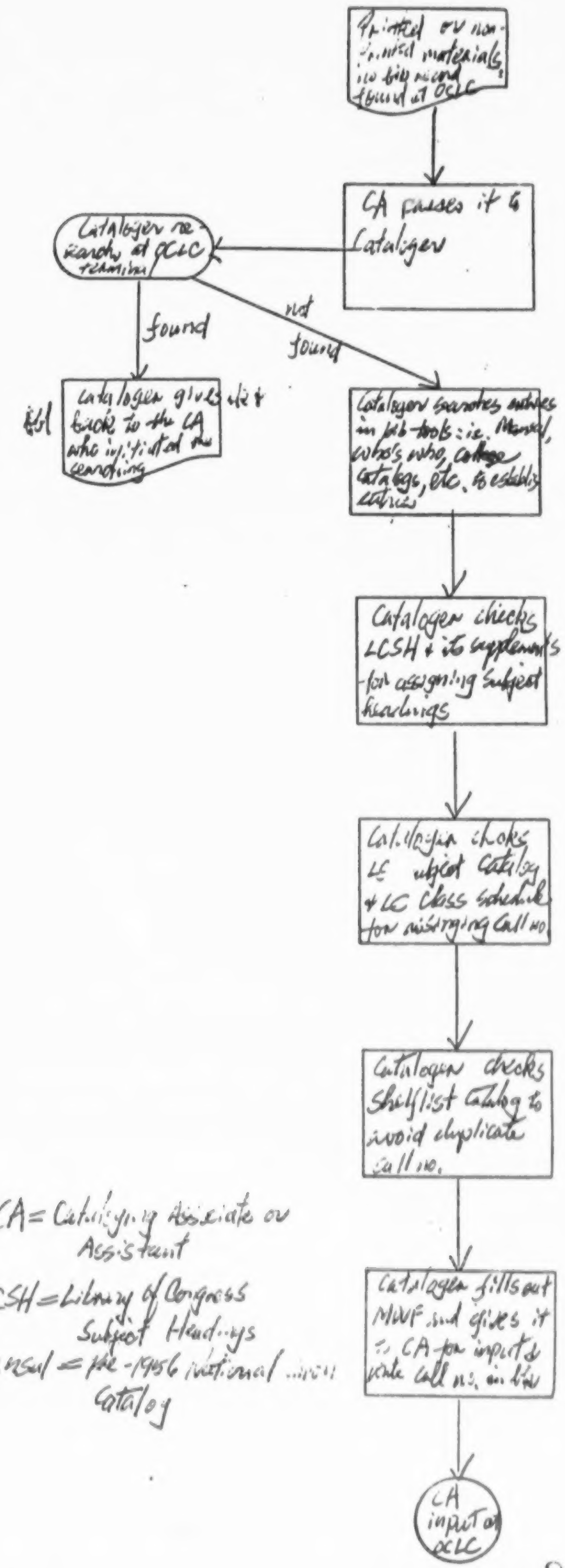

1
Write up volumes.
Fill in shelf list. (exception: multipart items).
Search OCLC
multipart item-?
y
cancel/update on OCLC
n
update call number if necessary.
input modified holding statement (all holdings)
update OCLC, (location, holdings)
update main entry if necessary
update on ovm.
shelf list to box - books to truck for processing.

16) Reference Sweep (Monographs)

RCS cataloging
monographs
1-13-86.


EG receives sweep cards from Head of Reference. (statistics kept)
EG evaluates decides on solution - distributes or does by self
① problem
- call number
- no ref. S.L.
- recataloging editions
- other
① catalog problem
② discard
③ Ref to circ
③ discard
only copy owned by CSU?
y
- Pull all cards
- delete holdi
- stamp "canc
- discard.
n
- pull shelf list only c revise holdings
- OCLC updated
- book cancelled.
- discard.
② Ref to circ
only copy owned by CSU?
y
- Pull cards
- white out Ref
- refile.
update OCLC
Make up MPR (don't count as new)
Put on truck for labels
MHP produce book labels
Book circulated.
no
does circulating card set exist?
yes
Add to circ set (as add).
no
catalog on OCLC as new book.
search OCLC
Authority work
See "Online Production Processing Procedure".
update OCLC record of original

17) MONOGRAPHS -- ORIGINAL CATALOGING sc 1/8/86


Printed or non-printed materials, no bib record found at OCLC
CA passes it to Cataloger
Cataloger re-searches at OCLC terminal
found
not found
cataloger gives it back to the CA who initiated the searching
Cataloger searches entries in bib tools: i.e. Manual, who's who, college catalogs, etc. to establish entries
Cataloger checks LCSH & its supplements for assigning subject headings
Cataloger checks LC subject catalog & LC Class schedule for assigning call no.
Cataloger checks shelflist catalog to avoid duplicate call no.
Cataloger fills out MWF and gives it to CA for input & write call no. in the
CA input at OCLC

CA = Cataloging Associate or Assistant

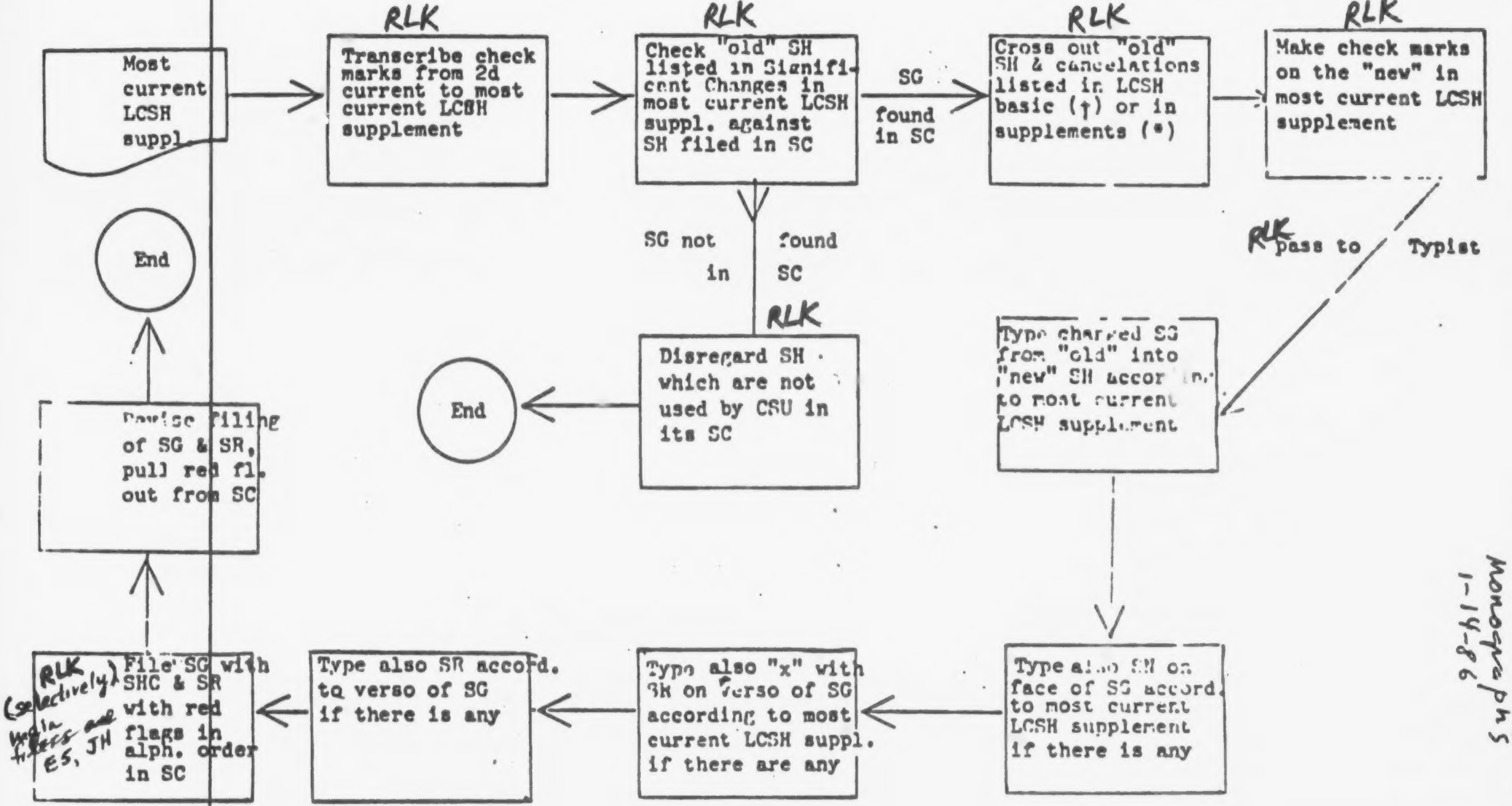
LCSH = Library of Congress Subject Headings

Manual = the pre-1956 national union Catalog

SC 4/9/85

UPDATING SUBJECT HEADINGS FOR LCSH

Rev. 6/10/85


RLK
Most current LCSH suppl.
Transcribe check marks from 2d current to most current LCSH supplement
Check "old" SH listed in Significant Changes in most current LCSH suppl. against SH filed in SC
SG found in SC
Cross out "old" SH & cancelations listed in LCSH basic (†) or in supplements (*)
Make check marks on the "new" in most current LCSH supplement
RLK pass to Typist
SG not found in SC
Disregard SH which are not used by CSU in its SC
End
Type changed SG from "old" into "new" SH according to most current LCSH supplement
Type also SN on face of SG accord. to most current LCSH supplement if there is any
Type also "x" with SR on verso of SG according to most current LCSH suppl. if there are any
Type also SR accord. to verso of SG if there is any
File SG with SHC & SR with red flags in alph. order in SC
RLK (selectively) main fitters and ES, JH
Revise filing of SG & SR, pull red fl. out from SC
End

CSU = Cleveland State University LCSH = LC Subject Headings SC = Subject Catalog SG = Subject guide

SH = Subject heading SHC = Subject heading card SN = Scope note SR = See reference

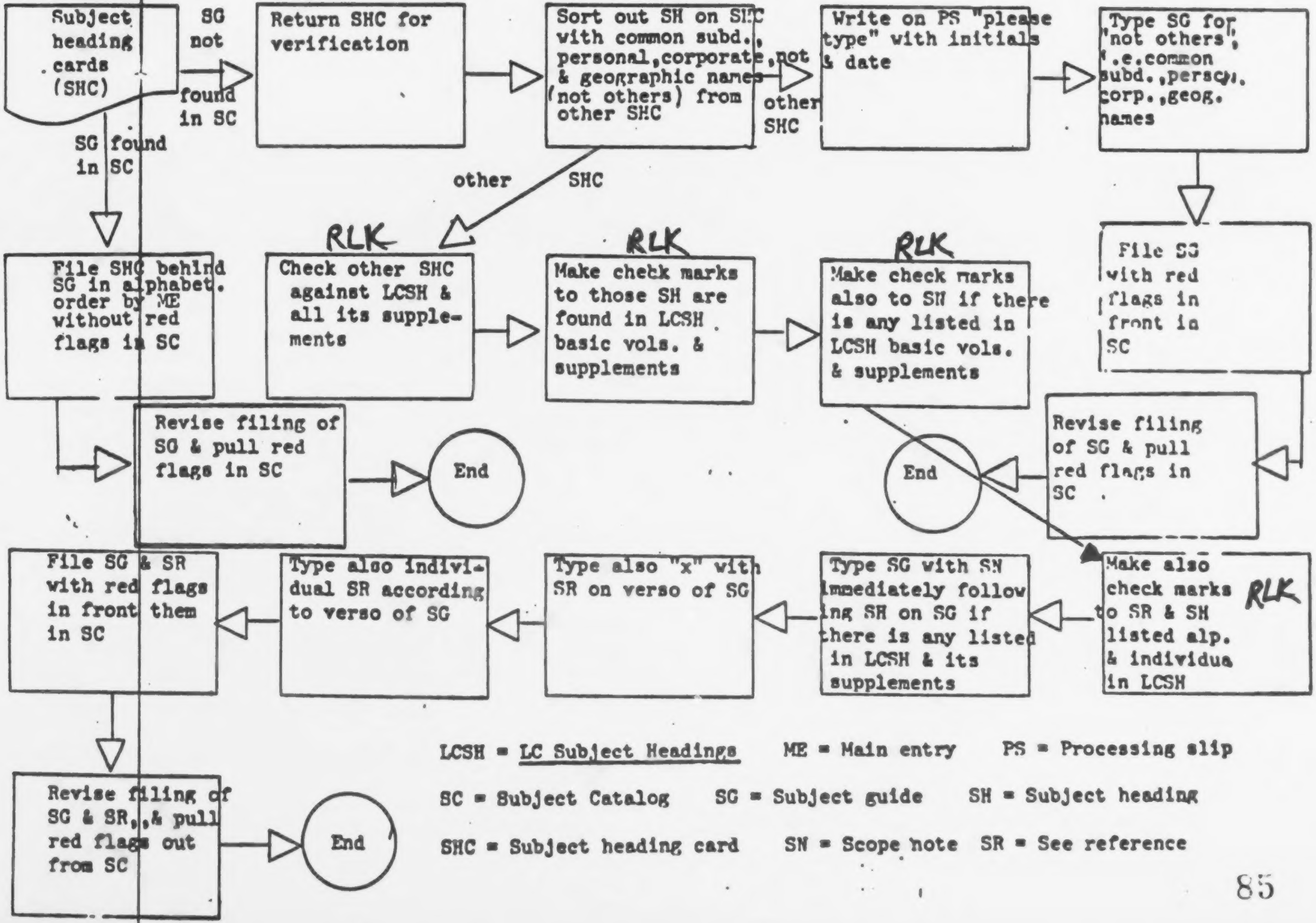
RLK > Cataloging Monographs
1-14-86

SC 4/10/85

rev. 5/29/85

19) Verifying subject headings

VERIFYING SUBJECT HEADINGS


Subject heading cards (SHC)
SG not found in SC
Return SHC for verification
Sort out SH on SHC with common subd., personal, corporate, & geographic names (not others) from other SHC
not other SHC
Write on PS "please type" with initials & date
Type SG for "not others", i.e. common subd., persons, corp., geog. names
SG found in SC
other SHC
File SHC behind SG in alphabet. order by ME without red flags in SC
RLK
Check other SHC against LCSH & all its supplements
RLK
Make check marks to those SH are found in LCSH basic vols. & supplements
RLK
Make check marks also to SN if there is any listed in LCSH basic vols. & supplements
File SG with red flags in front in SC
Revise filing of SG & pull red flags in SC
End
End
Revise filing of SG & pull red flags in SC
File SG & SR with red flags in front them in SC
Type also individual SR according to verso of SG
Type also "x" with SR on verso of SG
Type SG with SN immediately following SH on SG if there is any listed in LCSH & its supplements
Make also check marks to SR & SH listed alp. & individua in LCSH
RLK
Revise filing of SG & SR, & pull red flags out from SC
End

LCSH = LC Subject Headings ME = Main entry PS = Processing slip

SC = Subject Catalog SG = Subject guide SH = Subject heading

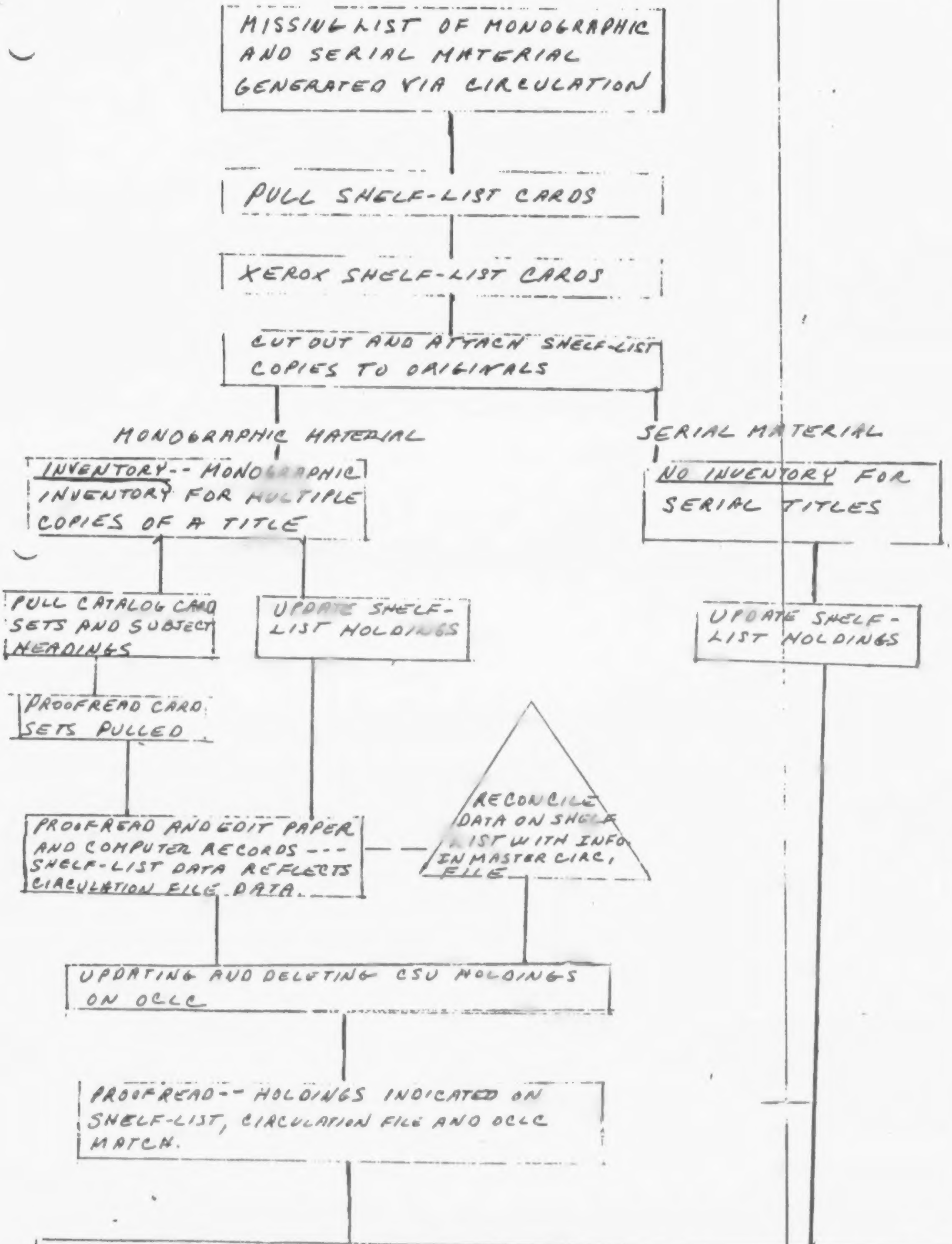
SHC = Subject heading card SN = Scope note SR = See reference

KDCS cataloging Monographs 1-14-86

19

20) KOCS -- CATALOGING - MISSING MATERIAL

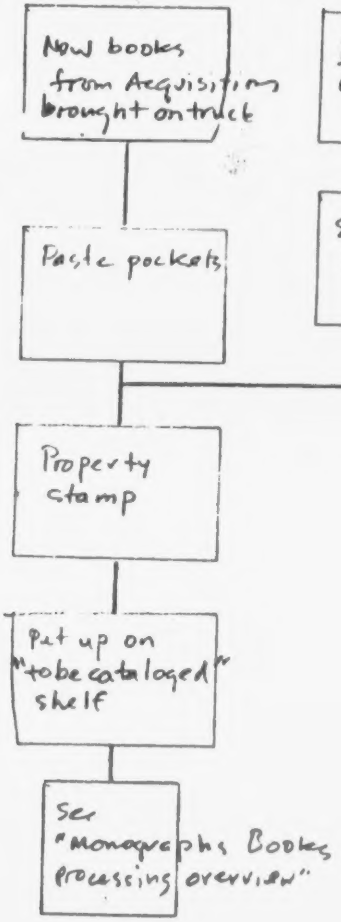
P. 1


MISSING LIST OF MONOGRAPHIC AND SERIAL MATERIAL GENERATED VIA CIRCULATION
PULL SHELF-LIST CARDS
XEROX SHELF-LIST CARDS
CUT OUT AND ATTACH SHELF-LIST COPIES TO ORIGINALS
MONOGRAPHIC MATERIAL
SERIAL MATERIAL
INVENTORY-- MONOGRAPHIC INVENTORY FOR MULTIPLE COPIES OF A TITLE
NO INVENTORY FOR SERIAL TITLES
PULL CATALOG CARD SETS AND SUBJECT HEADINGS
UPDATE SHELF-LIST HOLDINGS
UPDATE SHELF-LIST HOLDINGS
PROOFREAD CARD SETS PULLED
RECONCILE DATA ON SHELF LIST WITH INFO IN MASTER CIRC. FILE
PROOFREAD AND EDIT PAPER AND COMPUTER RECORDS --- SHELF-LIST DATA REFLECTS CIRCULATION FILE DATA.
UPDATING AND DELETING CSU HOLDINGS ON OCLC
PROOFREAD-- HOLDINGS INDICATED ON SHELF-LIST, CIRCULATION FILE AND OCLC MATCH.

CIRCULATION	COLL. DEV.	MONOGRAPHS	SERIALS
RECEIVES ANNOTATED MISSING LISTS	RECEIVES XEROX COPIES OF DELETED TITLES	PAPER RECORDS FOR LOST MATERIAL: ORIGINAL SHELF-LIST FOR DELETED TITLES; XEROX OF SHELF-LIST FOR LOST VOLS.	RECEIVES COPIES OF SHELF LIST INDICATING LOST VOLS.

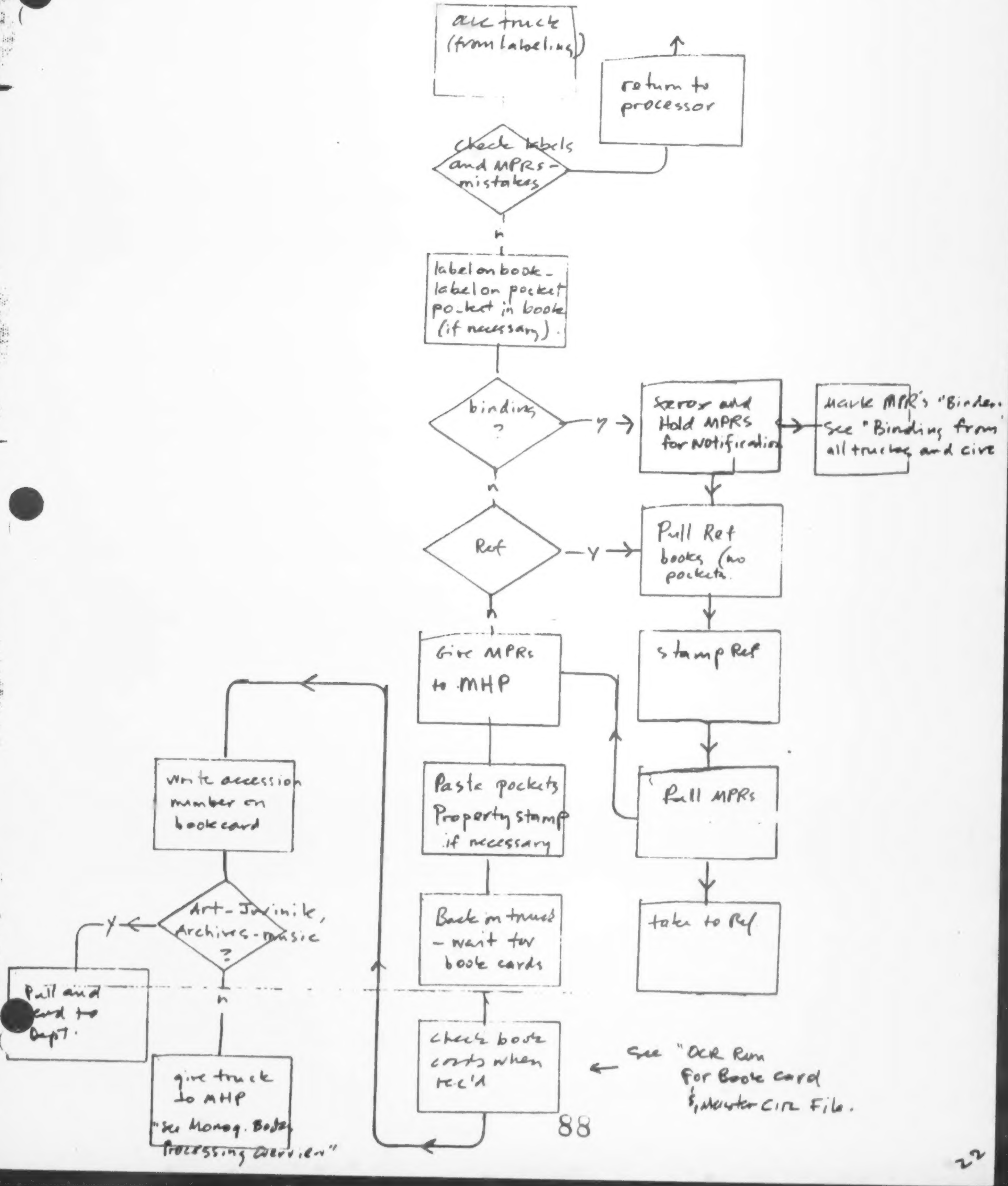
21 Binding-Processing:
New Books from Acquisitions
and Gifts

Rocs cataloging
monographs
1-14-86


New books from Acquisitions brought on truck
Books from Gift put on shelf
Paste pockets
Security strip
Property stamp
Put up on "to be cataloged" shelf
See "Monographs Books Processing overview"

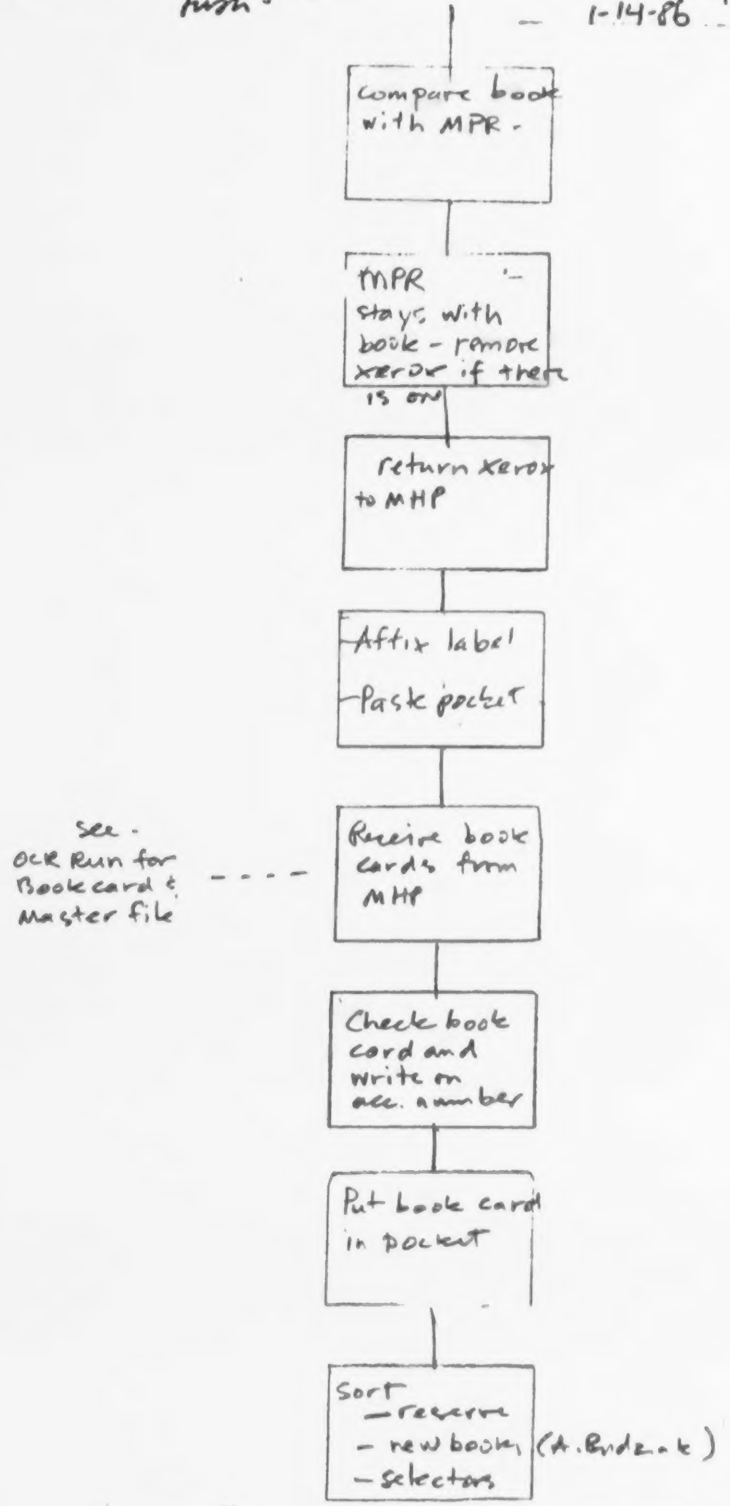
22) Binding-processing = OCLC trucks from cataloging

Rocs Cataloging
monographs
1-14-86


OCLC truck (from labeling)
return to processor
check labels and MPRs - mistakes
n
label on book - label on pocket pocket in book (if necessary).
binding ?
y
Xerox and Hold MPRS for Notification
Mark MPR's "Binder. See "Binding from all trucks and circ
n
Ref
Y
Pull Ref books (no pockets.
n
Give MPRs to MHP
stamp Ref
Pull MPRs
take to Ref
Paste pockets Property stamp if necessary
Back in truck - wait for book cards
check book cards when rec'd
See "OCR Run for Book card &, Master Circ File.
write accession number on bookcard
Art - Juvinile, Archives - music ?
Y
Pull and send to Dept.
n
give truck to MHP "See Monog. Book Processing Overview"

23) Binding-Processing
Books from MHP. (cataloged)
rush

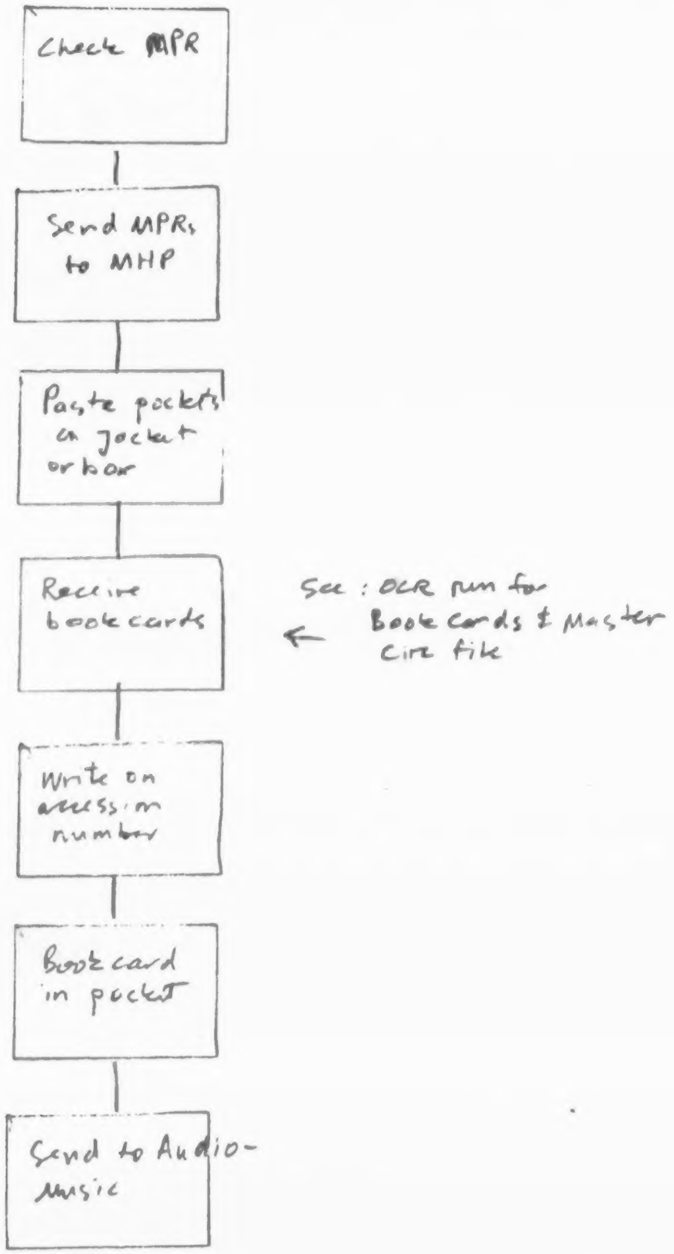
Rocs - cataloging
monographs
1-14-86


compare book with MPR -
MPR - stays with book - remove xerox if there is one
return xerox to MHP
-Affix label
-Paste pocket
see - OCR Run for Bookcard & Master file
Receive book cards from MHP
Check book card and write on acc. number
Put book card in pocket
Sort
-reserve
- new books (A. Budzak)
-selectors

25

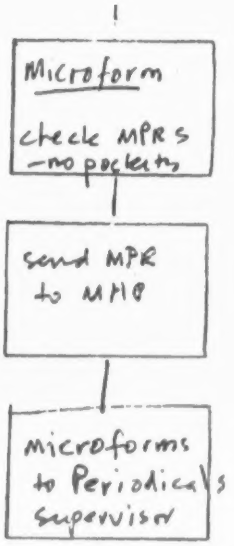
24) Binding - processing
Records and Cassettes

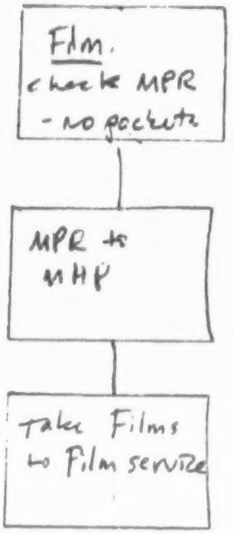
ROCS cataloging
Monographs
1-14-86

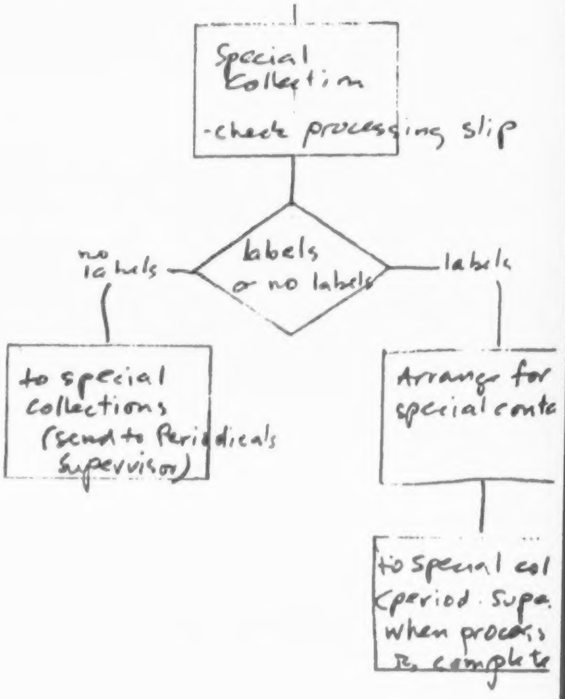

Check MPR
Send MPRs to MHP
Paste pockets on jacket or box
Receive book cards
See: OCR run for Book cards & Master Circ file
Write on accession number
Book card in pocket
Send to Audio-Music

20) Binding-Processing
_Microform, Film, spec. collection.

_ Rocs cataloging
_ monographs
_ 1-14-86

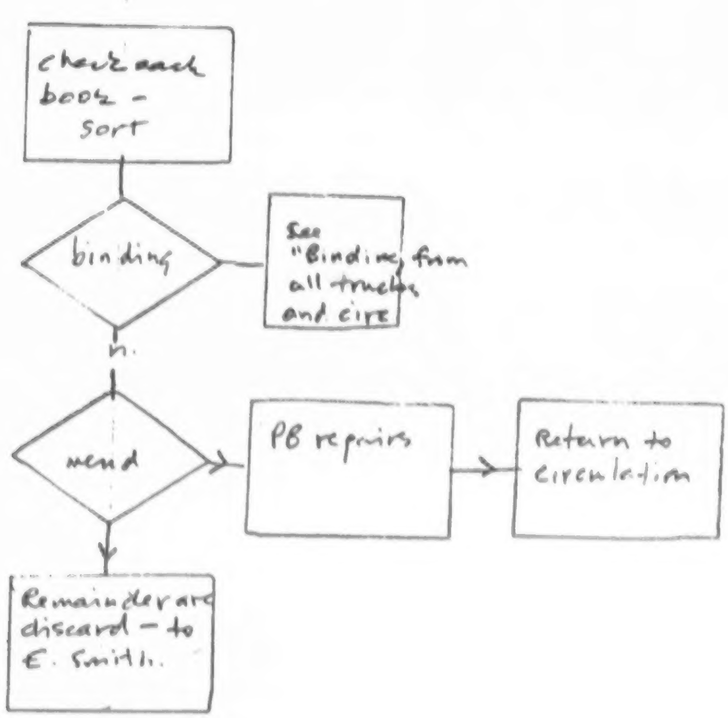

Microform
check MPRS
-no pockets
send MPR
to MHP
microforms
to Periodicals
supervisor


Film.
check MPR
-no pockets
MPR to
MHP
Take Films
to Film service


Special
Collection
-check processing slip
labels
or no labels
no
labels
labels
to special
collections
(send to Periodicals
Supervisor)
Arrange for
special conta
to special col
(period. Supv.
when process
is complete

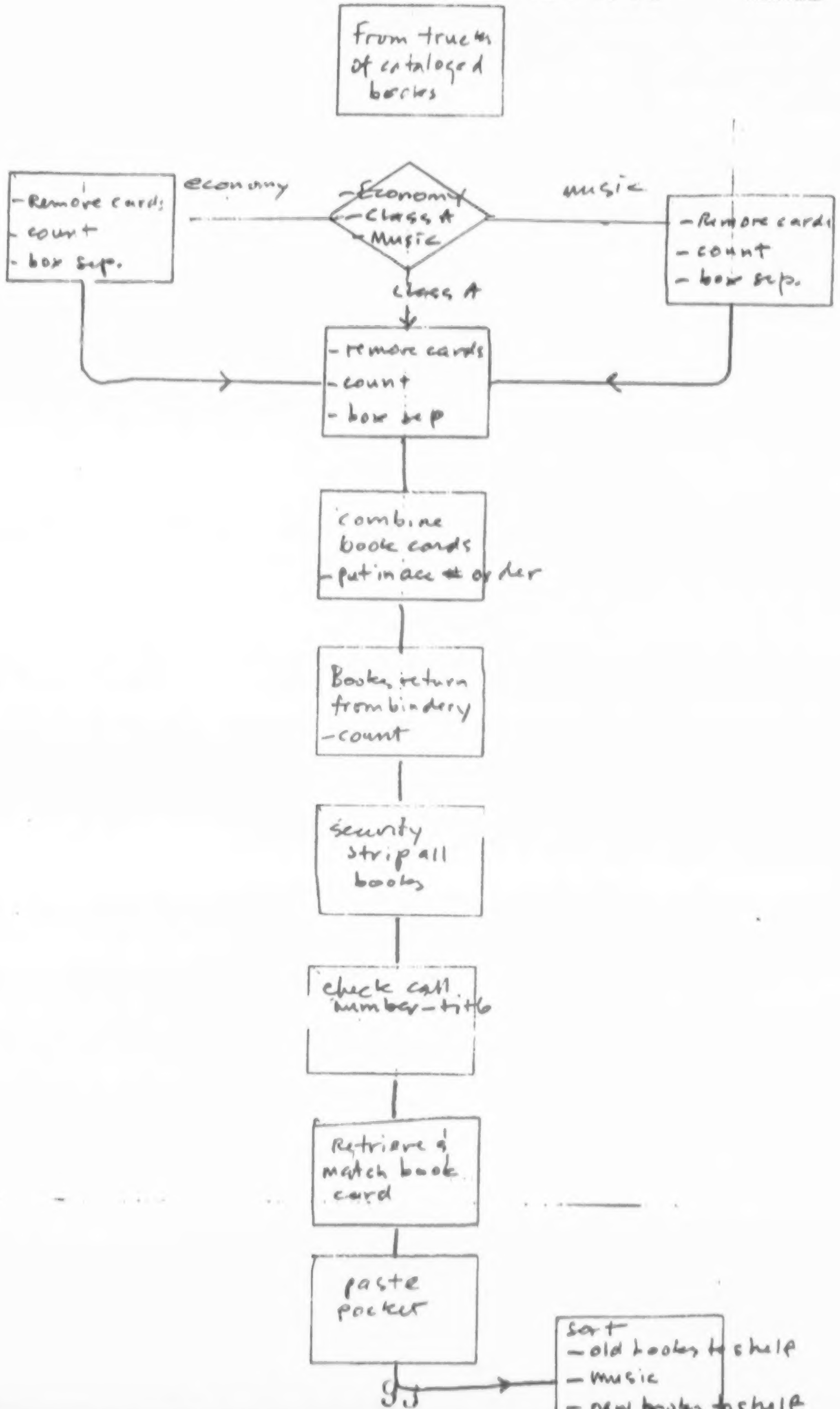
26) Binding - Processing
-- Truck from circulation

Rxs cataloging
monographs
1-14-86


check each book - sort
binding
See "Binding from all trucks and circ
n.
mend
PB repairs
Return to circulation
Remainder are discard - to E. Smith.

27) Binding - Processing
- Binding from all trucks and circulation

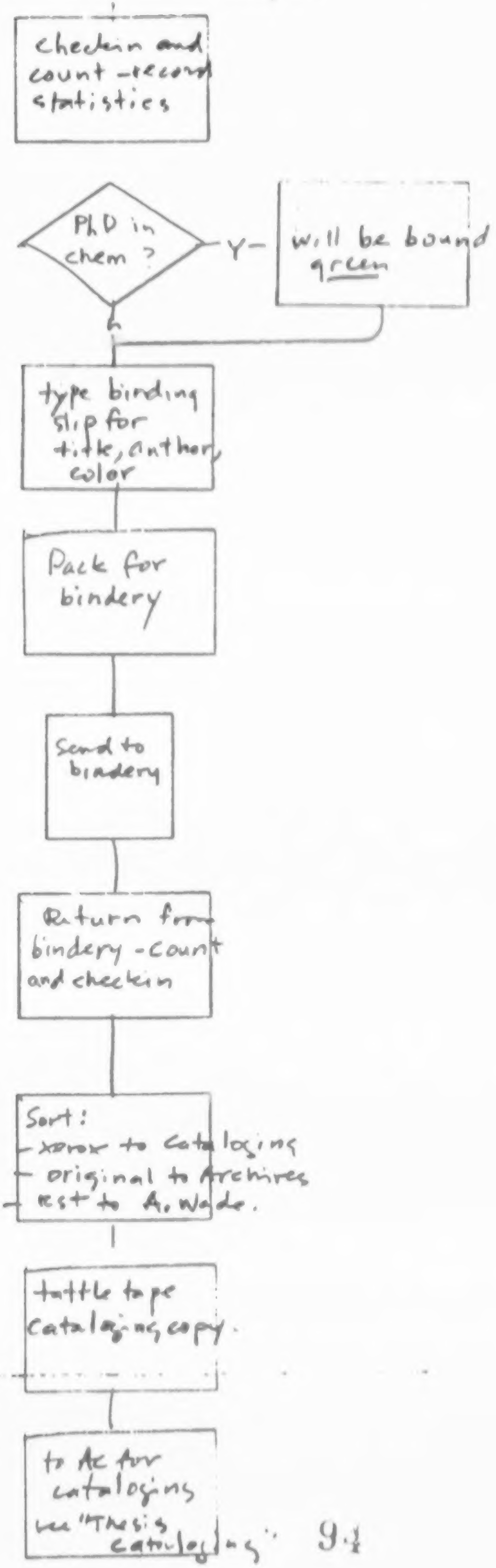
Rocs cataloging
Monographs
1-14-86



from trucks of cataloged books
economy
- Economy
- Class A
- Music
music
- Remove cards
- count
- box sep.
- Remove cards
- count
- box sep.
class A
- remove cards
- count
- box sep
combine book cards
- put in acc # order
Books return from bindery
- count
security strip all books
check call number - title
Retrieve & match book card
paste pocket
sort
- old books to shelf
- music
- new books to shelf

28) Binding - Processing
Thesis from A Wade

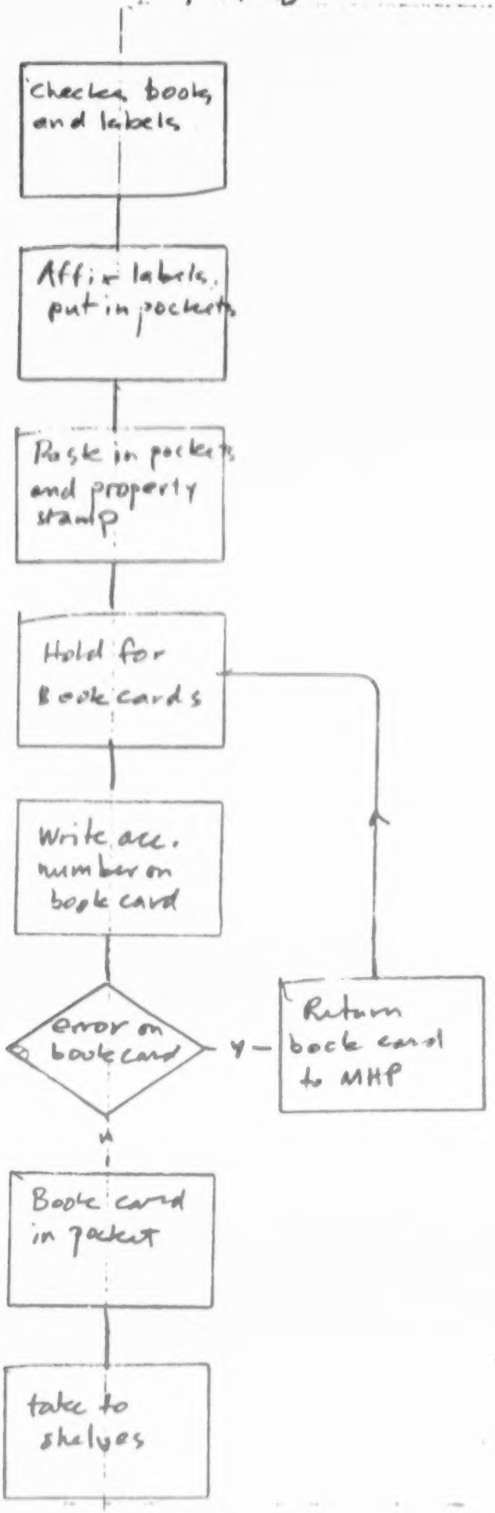
ROCS - Cataloging
monographs
1-14-86



checkin and count - record statistics
PhD in chem ?
Y
will be bound green
n
type binding slip for title, author, color
Pack for bindery
Send to bindery
Return from bindery - count and checkin
Sort:
- xerox to Cataloging
- original to Archives
- rest to A. Wade.
tattle tape Cataloging copy.
to Ac for cataloging see "Thesis cataloging"

29) Binding - Processing
- Serial trucks

ROCS - cataloging
monographs
1-14-86

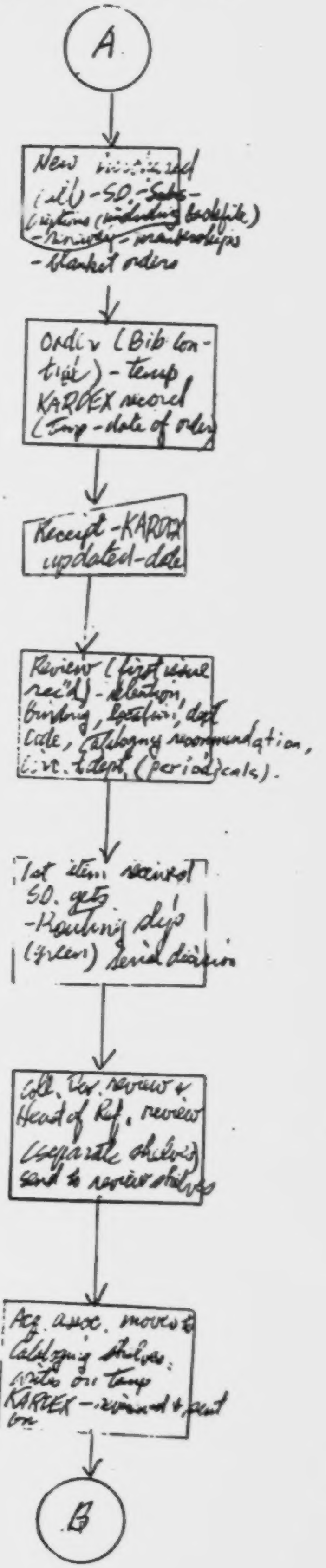

Checks books and labels
Affix labels, put in pockets
Paste in pockets and property stamp
Hold for Book cards
Write acc. number on book card
error on book card
Y
Return book card to MHP
N
Book card in pocket
take to shelves

see: "Ock run for Book card & Master circ File"

29

SC 1/10/86

30) SERIALS CATALOGING (1)

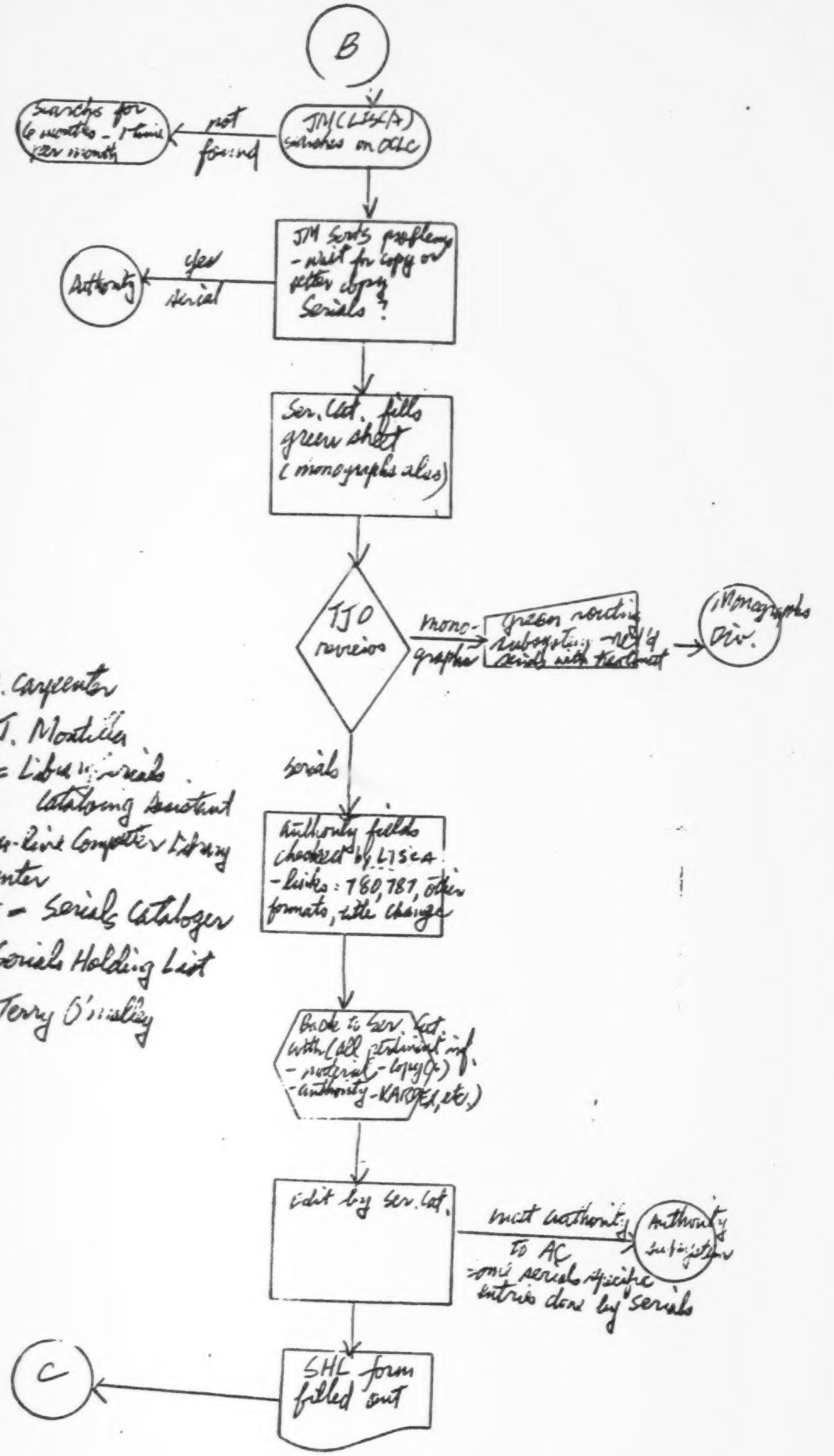

A
New [illegible]
(all) - S.O. - Subs-
criptions (including backfile)
- [illegible] - memberships
- blanket orders
Order (Bib. Control) - temp
KARDEX record
(Temp - date of order)
Receipt - KARDEX
updated - date
Review (first issue
rec'd) - retention,
Binding, location, dept
code, Cataloging recommendation,
Circ. & dept. (periodicals).
1st item received
S.O. gets
- Routing slips
(green) Serial division
Coll. Dev. review &
Head of Ref. review
(separate shelves)
send to review shelves
Acq. assoc. moves to
Cataloging shelves:
notes on temp
KARDEX - reviewed & sent
on
B

Bib = Bibliographic
Circ = Circulation
Coll. Dev = Collection Development
Ref. = Reference
S.O. = Standing order
tem. = temporary

30/1

AC 1/10/86

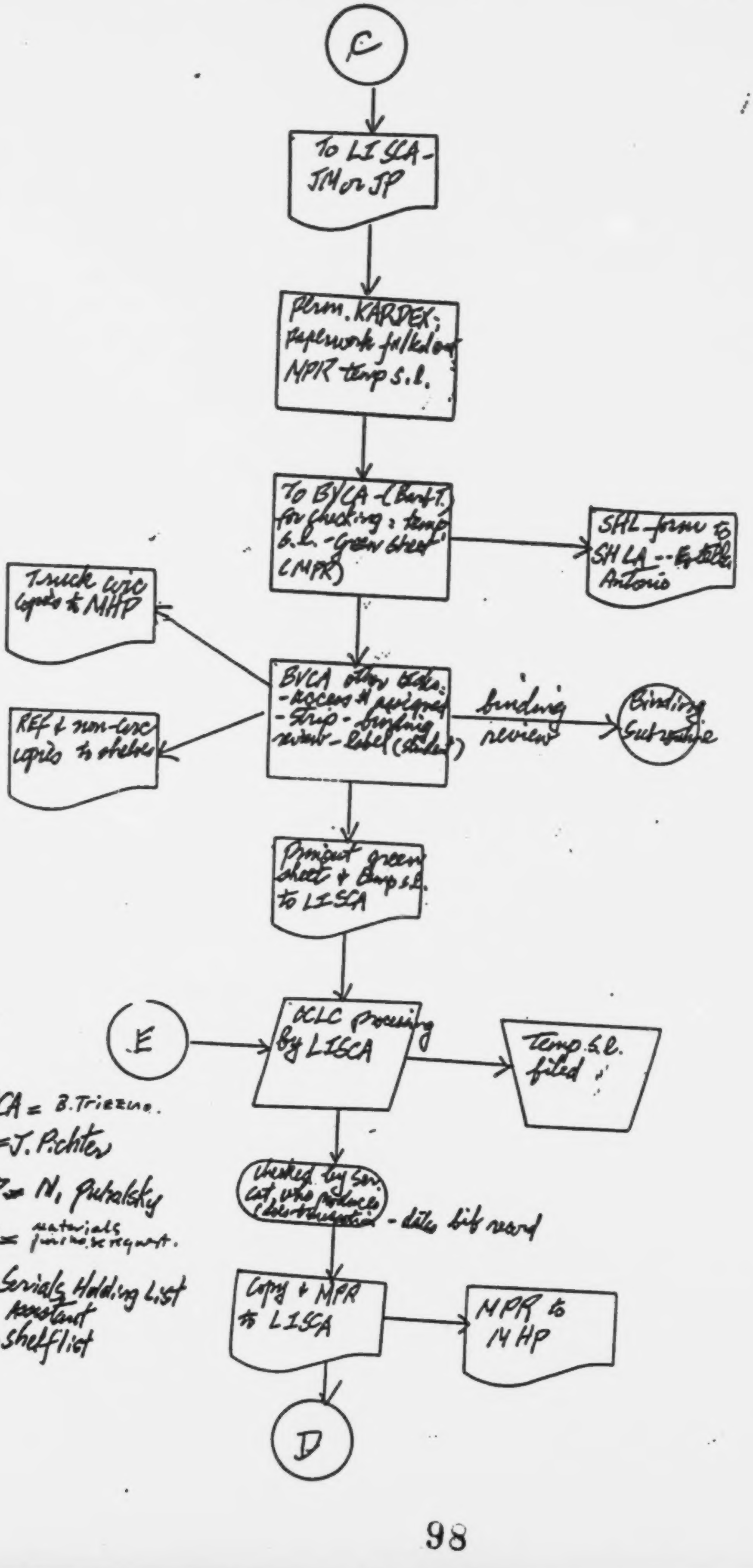
3.) SERIALS CATALOGING (2)


B
JM (LISCA) searches on OCLC
not found
Searches for 6 months - 1 time per month
JM sorts problems - wait for copy or better copy
Serials ?
yes serial
Authority
Ser. Cat. fills green sheet (monographs also)
TJO reviews
mono-graphs
green routing subagating - NC/4 serials with treatment
Monographs Div.
serials
Authority fields checked by LISCA - links: 780, 787, other formats, title change
Back to Ser. Cat. with (All pertinent inf. - material - copy(s)) - authority - KARDEX, etc.)
edit by Ser. Cat.
most authority
To AC
some serials specific entries done by serials
Authority subjecting
SHL form filled out
C

AC = A. Carpenter
JM = J. Montilla
LISCA = Library Serials Cataloging Assistant
OCLC = On-Line Computer Library Center
Ser. Cat. - Serials Cataloger
SHL = Serials Holding List
TJO = Terry O'malley

30) SERIALS CATALOGING (3)

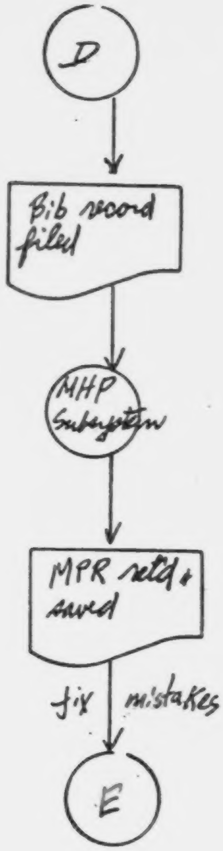
ac 1/10/86


C
To LISCA - JM or JP
Perm. KARDEX; paperwork followup MPR - temp s.l.
To BVCA - (Bert T.) for checking: temp s.l. - "Green Sheet" (MPR)
SHL form to SHLA -- Estella Antonio
Truck circ copies to MHP
BVCA other tasks: - access # assigned - strip - binding review - label (student)
binding review
Binding Subroutine
REF & non-circ copies to shelves
Printout green sheet & temp s.l. to LISCA
E
OCLC processing by LISCA
Temp s.l. filed
checked by ser. cat. who produces [illegible] - date bib record
Copy & MPR to LISCA
MPR to MHP
D

BVCA = B.Triezno.
JP = J. Pichter
MHP = N. Pukalsky
MPR = materials purchase request.
SHLA = Serials Holding List Assistant
S.L. = shelflist

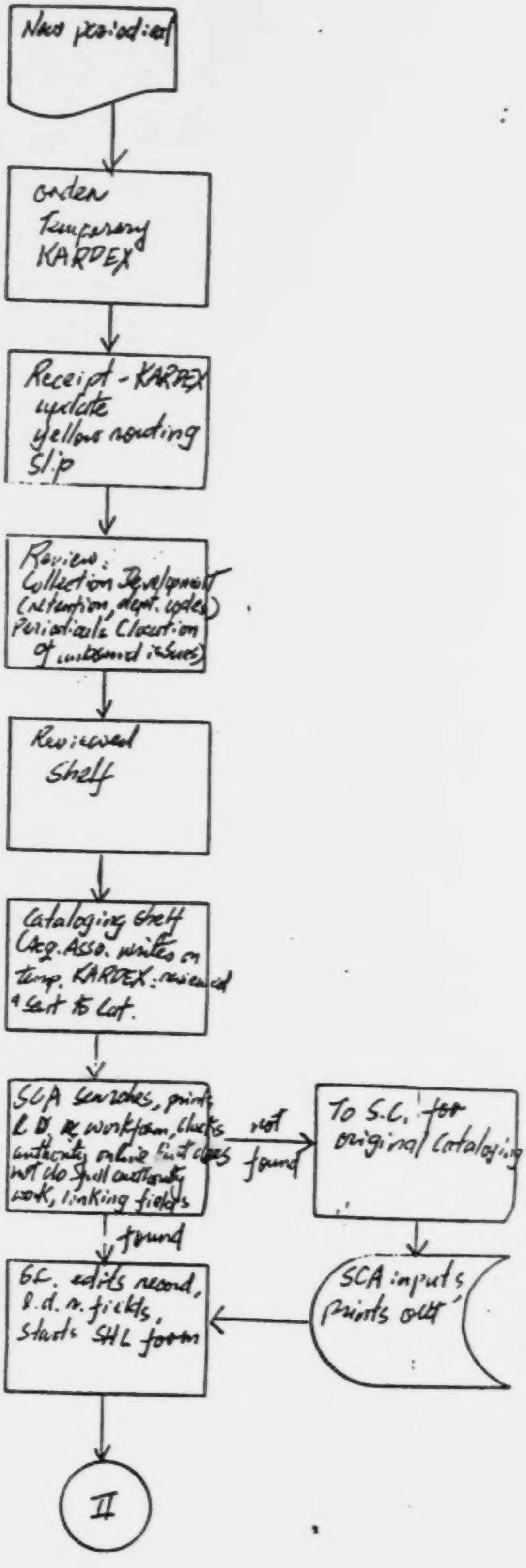
30) SERIALS CATALOGING (4)

sc 1/10/86

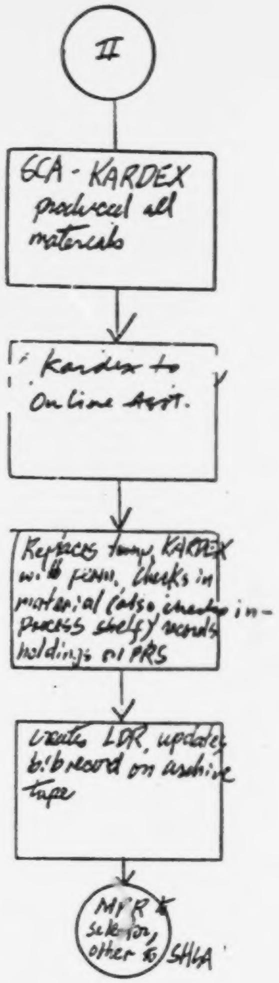

D
Bib record filed
MHP Subsystem
MPR retd + saved
fix mistakes
E

31) NEW PERIODICALS (1)

SC 1/14/86

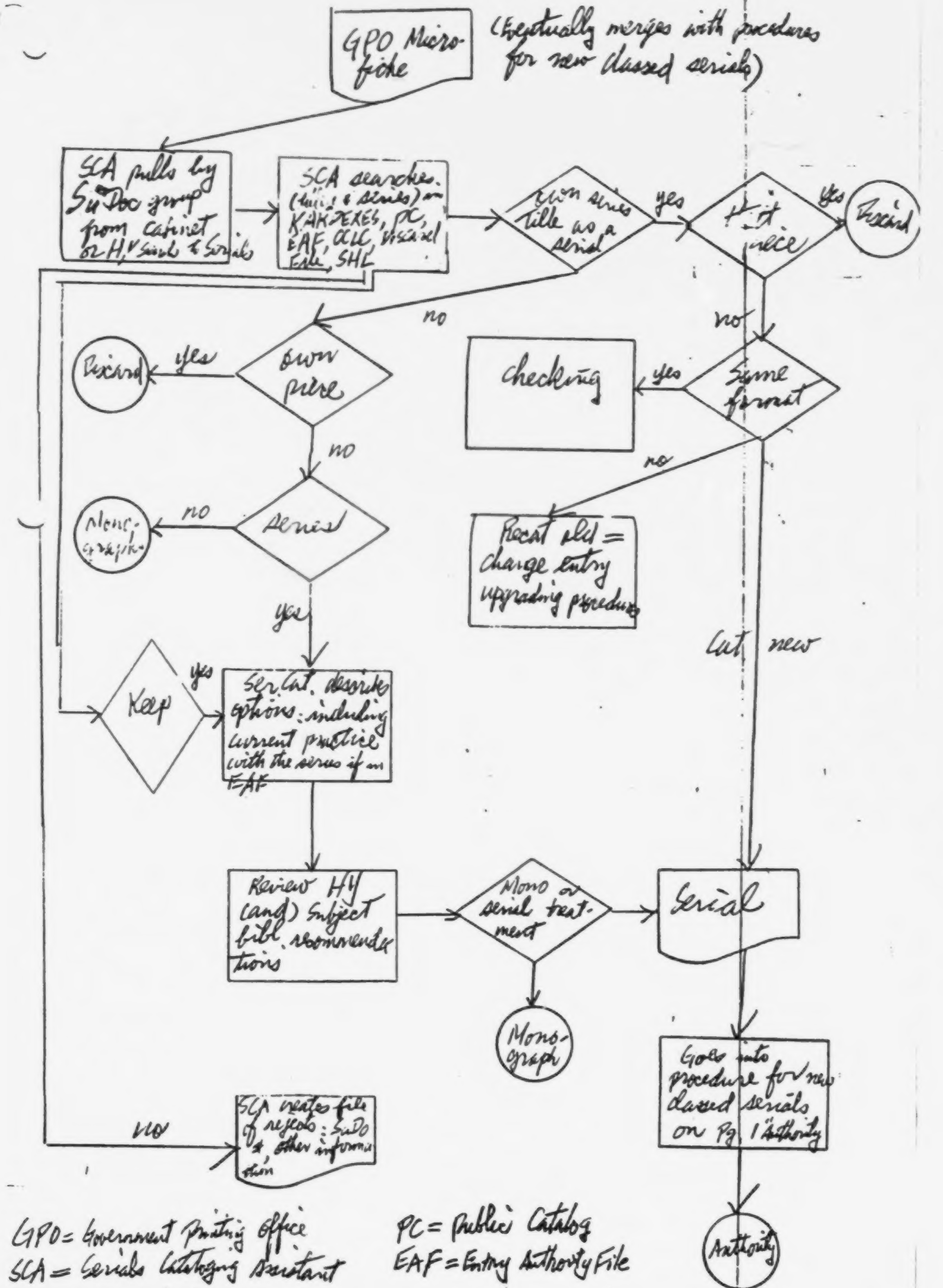

New periodical
order
Temporary
KARDEX
Receipt - KARDEX
update
yellow routing
slip
Review:
Collection Development
(retention, dept. codes)
Periodicals Closertion
of unbound issues)
Reviewed
Shelf
Cataloging shelf
(Acq. Asso. writes on
temp. KARDEX: reviewed
& sent to Cat.
SCA searches, prints
L.D. & workform, checks
authority online but does
not do full authority
work, linking fields
not
found
To S.C. for
original Cataloging
found
S.C. edits record,
l.d.r. fields,
starts SHL form
SCA inputs
prints out
II

31) NEW PERIODICAL (2) 1/14/86


II
GCA - KARDEX produced all materials
Kardex to On Line Asst.
Replaces temp. KARDEX with perm., checks in material (also checks in-process shelf) records holdings on PRS
Creates LDR, updates bib record on archive tape
MPR selector, other to SHLA

32) GPO Microfiche

SC 1/8/86

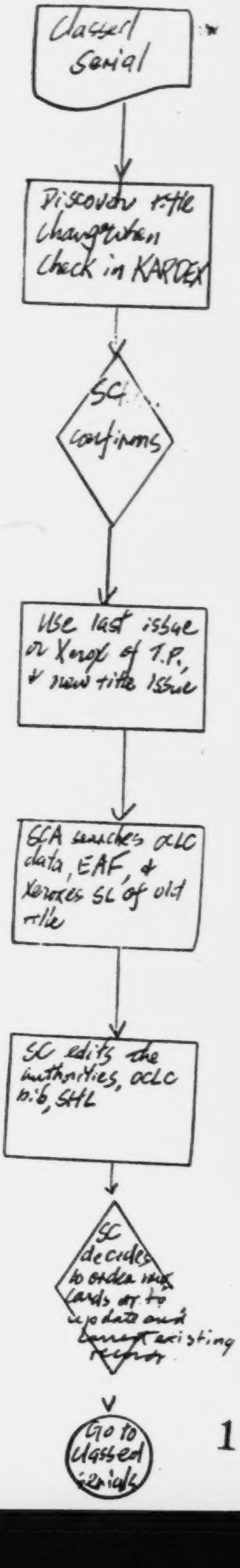

GPO Microfiche
(Eventually merges with procedures for new classed serials)
SCA pulls by SuDoc group from cabinet or HY, Sends to Serials
SCA searches (titles & series) on KARDEXES, PC, EAF, OCLC, Discard File, SHL
own series title as a serial
yes
Hit piece
yes
Discard
no
no
own piece
yes
Discard
Same format
yes
Checking
no
Recat old = change entry upgrading procedure
Cat new
no
Series
no
Monograph
yes
Keep
yes
Ser. Cat. describe options: including current practice with the series if in EAF
Review HY (and) Subject bibl. recommendations
Mono or serial treatment
Serial
Monograph
Goes into procedure for new classed serials on Pg. 1 Authority
no
SCA creates file of rejects: SuDo & other information
Authority

GPO = Government Printing Office
SCA = Serials Cataloging Assistant
PC = Public Catalog
EAF = Entry Authority File
HY = Henry York, history/Social Science bibliographer
SuDoc = Superintendent of Documents
SHL = Serials Holding List
OCLC = On-line Computer Library Center

33) TITLE CHANGE OF CLASSED SERIALS

146

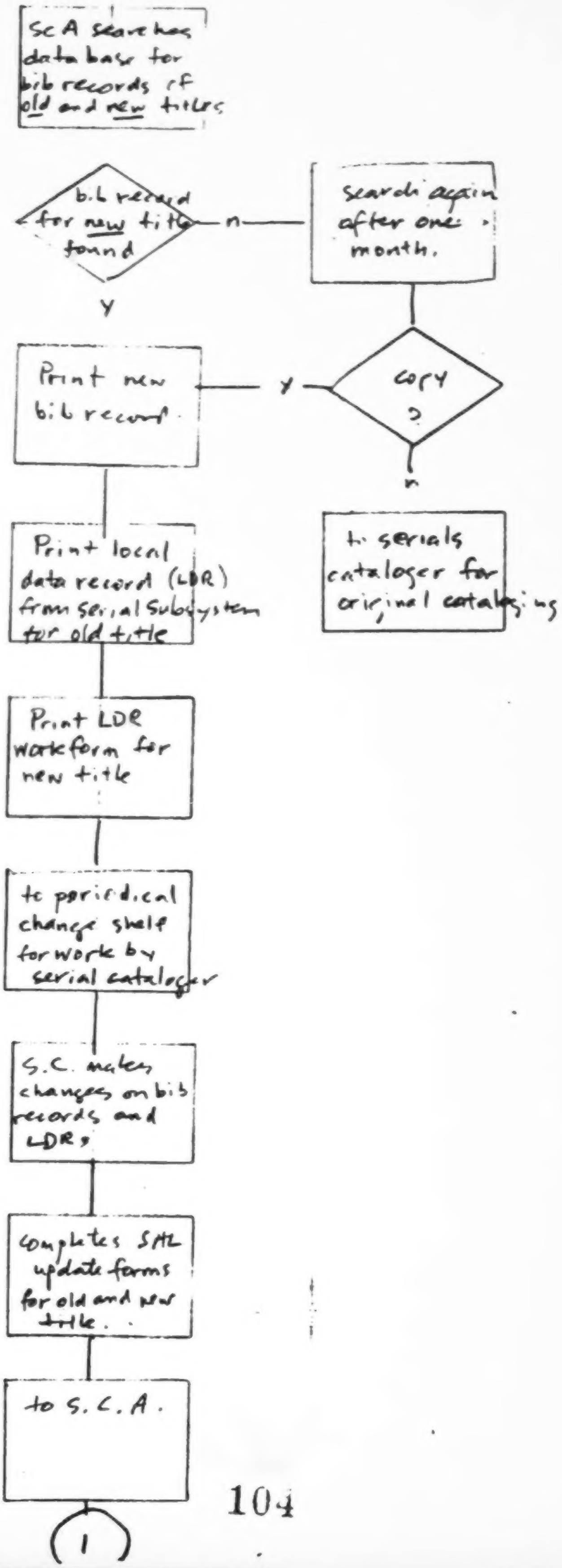
ed/9/86


Classed Serial
Discover title change when check in KARDEX
SC confirms
Use last issue or Xerox of T.P., & new title issue
SCA searches OCLC data, EAF, & Xeroxes SL of old title
SC edits the authorities, OCLC bib, SHL
SC decides to order new cards or to update and correct existing records
Go to classed serials

EAF = Entry Authority File
SC = Serials Cataloger
SCA = Serials Cataloging Assistant
SHL = Serials holding list
SL = Shelflist
T.P. = Title page

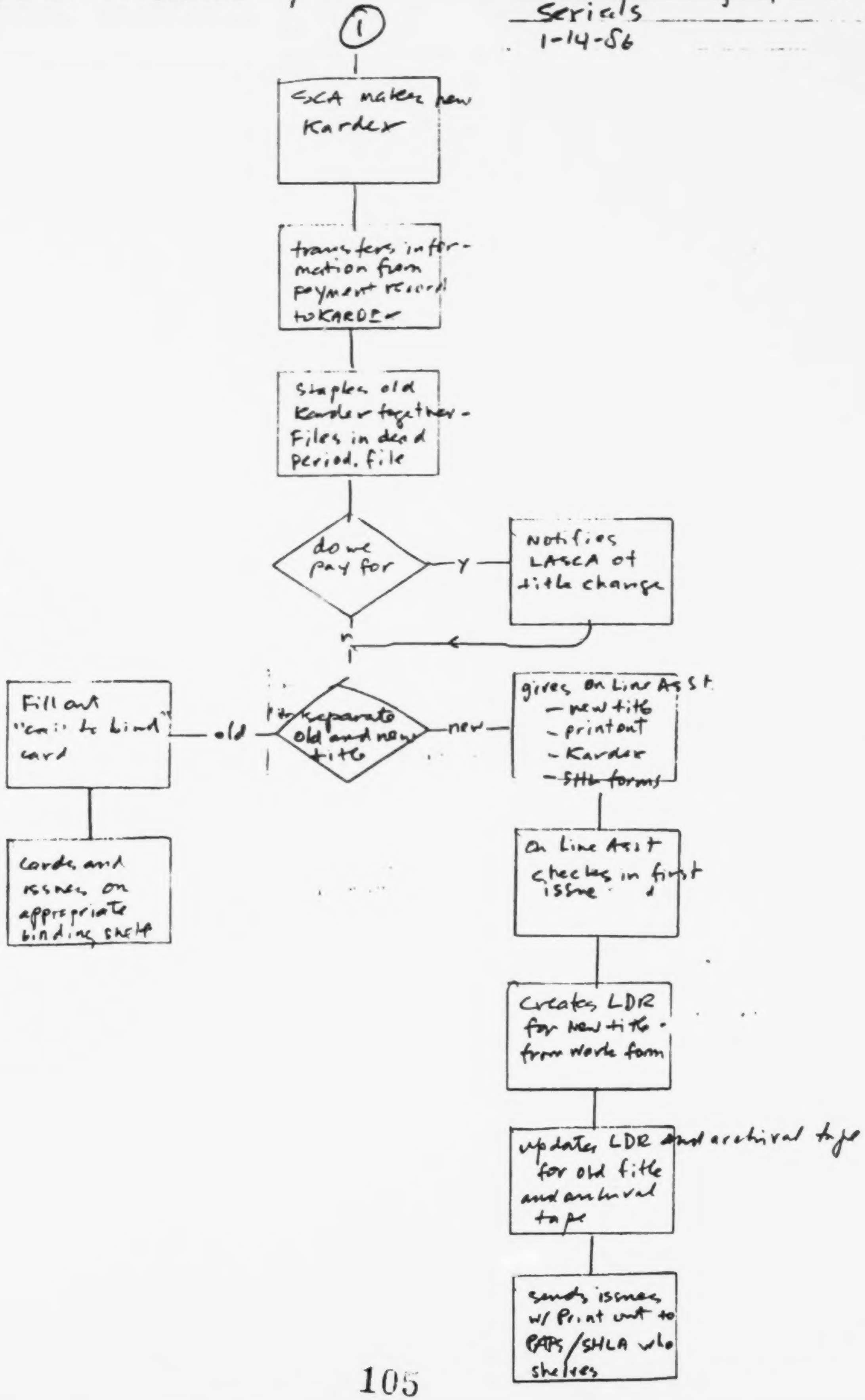
34) Title changes of Periodicals p. 1

KOCS cataloging
Serials
1-14-86


SCA searches data base for bib records of old and new titles
bib record for new title found
n
search again after one month.
Y
Print new bib record.
Y
copy ?
n
to serials cataloger for original cataloging
Print local data record (LDR) from serial Subsystem for old title
Print LDR workform for new title
to periodical change shelf for work by serial cataloger
S.C. makes changes on bib records and LDRs
completes SHL update forms for old and new title.
to S.C.A.
1

34) Title changes of periodicals p.2

ROCS cataloging
Serials
1-14-86

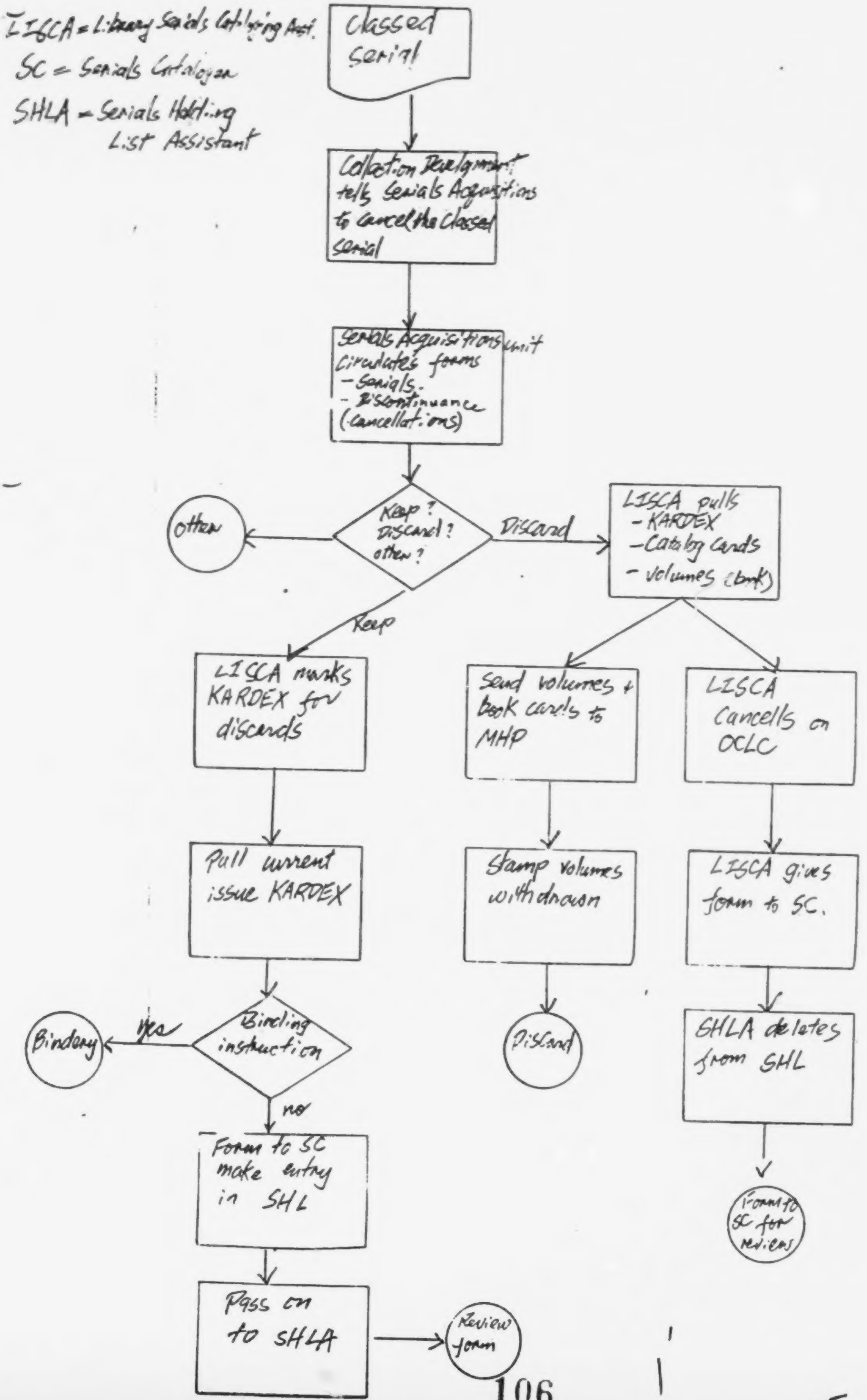

1
SSCA makes new Kardex
transfers information from payment record to KARDEX
Staples old Kardex together - Files in dead period. file
do we pay for
Y
Notifies LASCA of title change
n
separate old and new title
old
new
Fill out "call to bind" card
cards and issues on appropriate binding shelf
gives On Line Asst.
- new title
- printout
- Kardex
- ~~SHLA forms~~
On Line Asst checks in first issue
Creates LDR for new title from work form
updates LDR and archival tape for old title and archival tape
sends issues w/ Print out to PAPS/SHLA who shelves

ROCS cataloging- Serials

35) CANCELLATIONS OF CLASSED SERIALS

Sc 1/14/8

LISCA = Library Serials Cataloging Asst.
SC = Serials Cataloger
SHLA = Serials Holding List Assistant



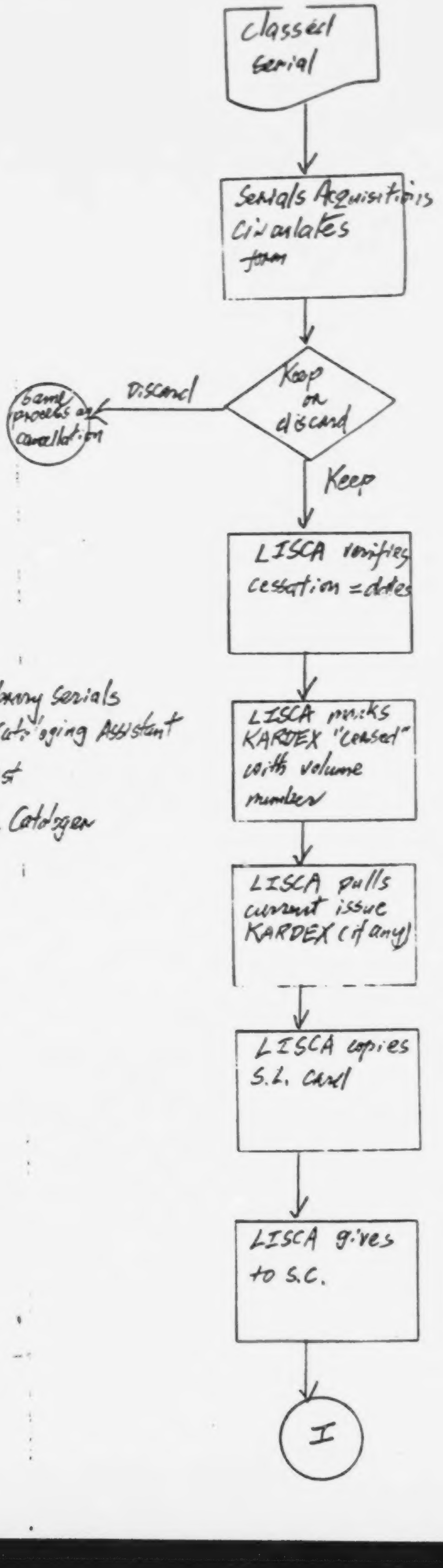
Classed serial
Collection Development tells Serials Acquisitions to cancel the Classed serial
Serials Acquisitions unit Circulates forms - Serials - Discontinuance (cancellations)
Keep? Discard? other?
other
Discard
LISCA pulls - KARDEX - Catalog cards - Volumes (bnk)
Keep
LISCA marks KARDEX for discards
Send volumes + Book cards to MHP
LISCA Cancells on OCLC
Pull current issue KARDEX
Stamp volumes withdrawn
LISCA gives form to SC.
Binding instruction
yes
Bindery
Discard
SHLA deletes from SHL
no
Form to SC make entry in SHL
Form to SC for review
Pass on to SHLA
Review form

Rocs cataloging - Serials

36) CESSATIONS OF CLASSED SERIALS

SC 1/14/86

(1)


classed serial
Serials Acquisitions circulates form
Keep or discard
Discard
Same process as cancellation
Keep
LISCA verifies cessation = dates
LISCA marks KARDEX "ceased" with volume number
LISCA pulls current issue KARDEX (if any)
LISCA copies S.L. card
LISCA gives to S.C.
I

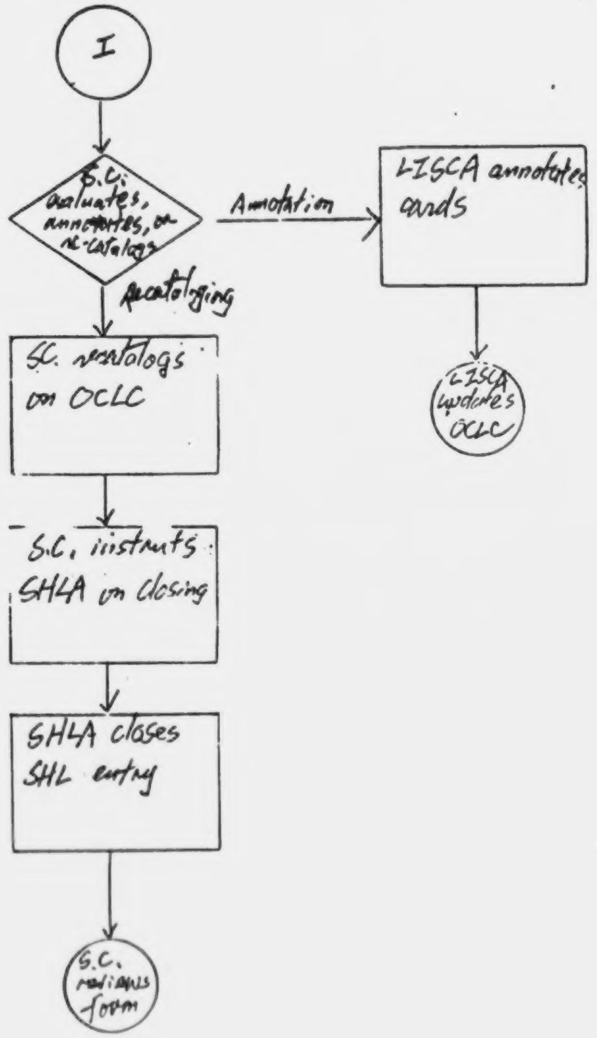
LISCA = Library Serials Cataloging Assistant

S.L. = shelflist

S.C. = Serials Cataloger

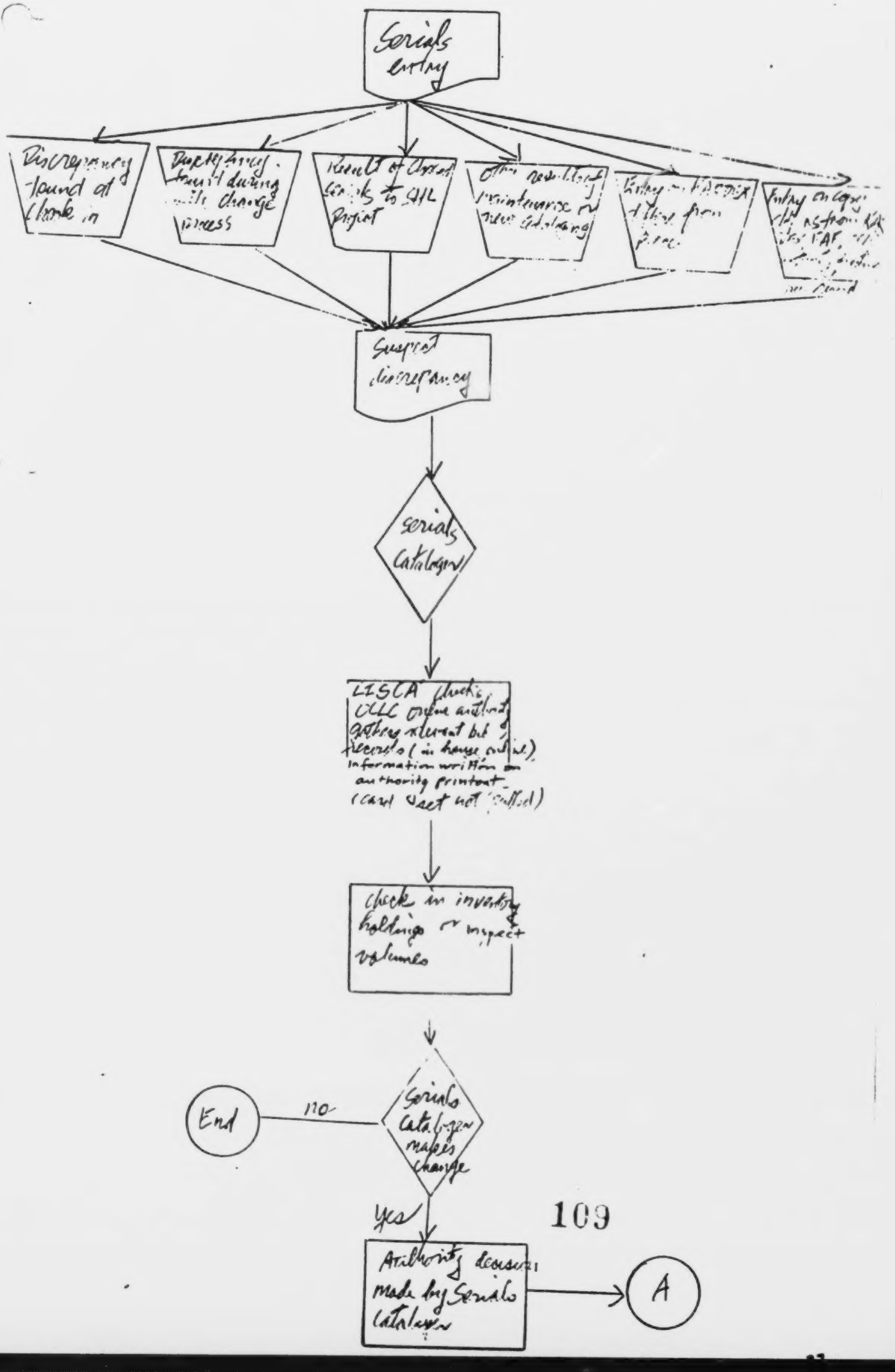
36) CESSATION OF CLASSED SERIALS

SC 1/14/86
(2)


I
S.C. evaluates, annotates, or re-catalogs
Annotation
LISCA annotates cards
LISCA updates OCLC
Recataloging
S.C. recatalogs on OCLC
S.C. instructs SHLA on closing
SHLA closes SHL entry
S.C. reviews form

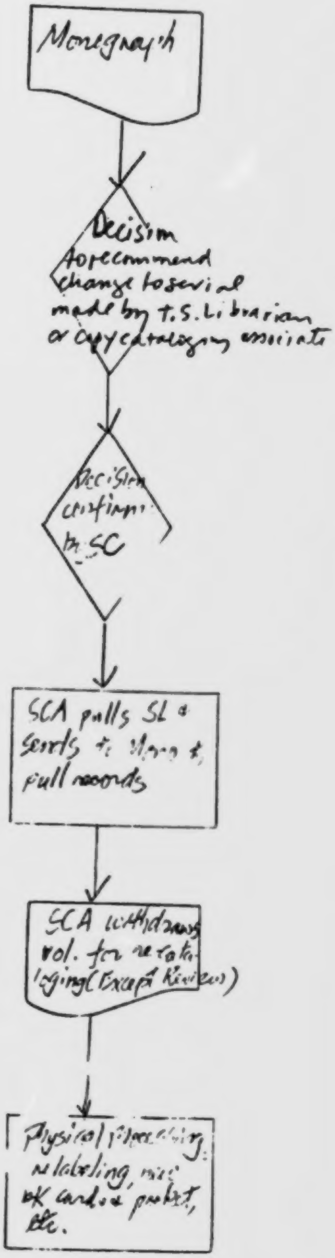
ROCS cataloging – SERIALS

7) CHANGE OF ENTRY & UPGRADING CATALOGING 1/13/86


Serials entry
Discrepancy found at check in
Discrepancy found during title change process
Result of closed serials to SHL project
Other result of maintenance or new cataloging
Entry in [illegible] differs from piece
Entry on copy [illegible] from [illegible]
Suspect discrepancy
Serials cataloger
LISCA checks OCLC online authority, gathers relevant bib records (in house online) information written on authority printout (card uset not pulled)
check in inventory holdings or inspect volumes
Serials cataloger makes change
no
End
yes
Authority decisions made by Serials cataloger
A

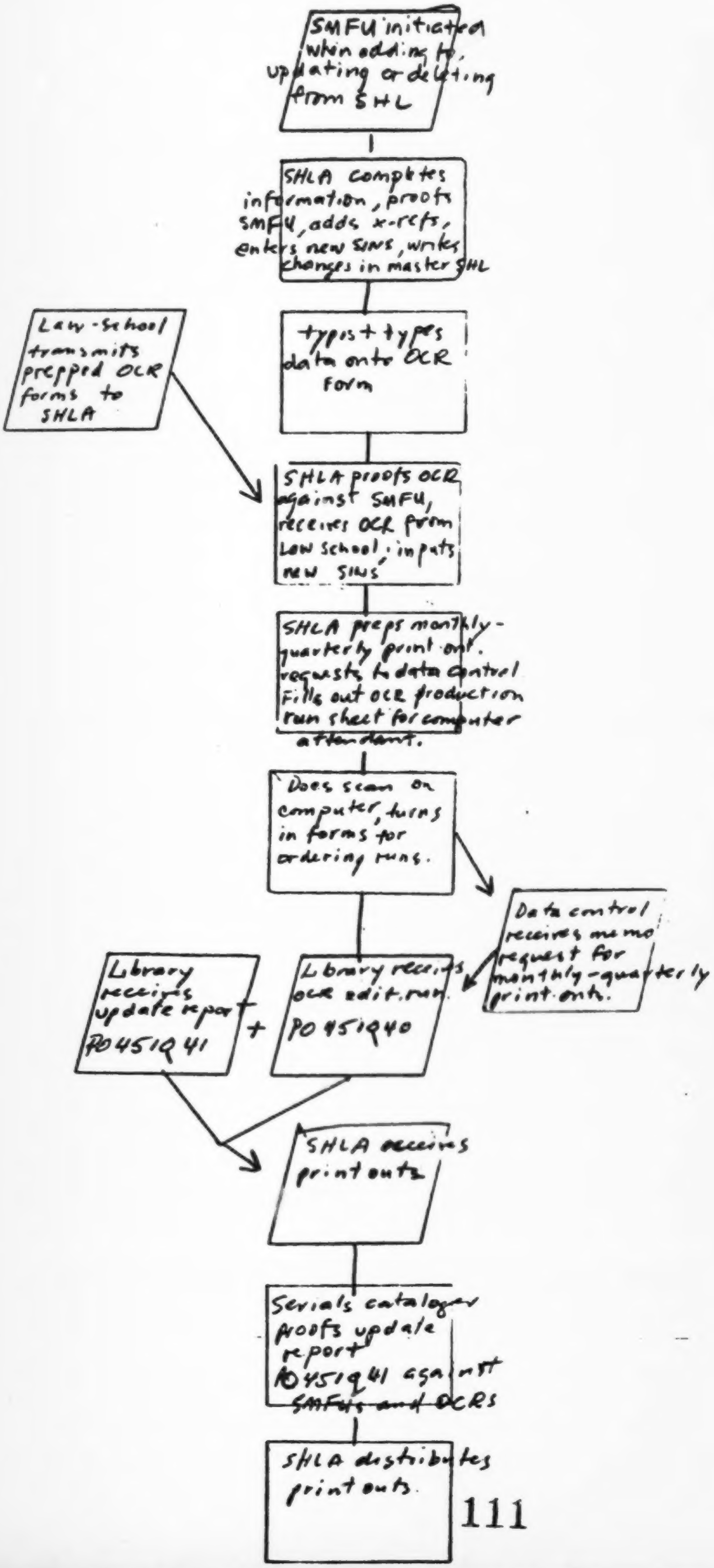
Rocs-cataloging
Serials

38) CHANGE MONOGRAPH TO SERIAL SC 1/8/86


Monograph
Decision to recommend change to serial made by T.S. Librarian or copy cataloging associate.
Decision confirmed by SC
SCA pulls SL & sends to Mono to pull records
SCA withdraws vol. for recataloging (Except Reviews)
Physical processing: relabeling, misc. bk card & pocket, etc.

AC = A. Carpenter, Monographs Cataloging Associate
Mono = Monographs Division
SCA = Serials Cataloging Assistant
SC = Serials Cataloger
SL = shelflist

37) Serials Holdings list Procedure. Rocs - Cataloging Serials


SMFU initiated when adding to, updating or deleting from SHL
SHLA completes information, proofs SMFU, adds x-refs, enters new SINS, writes changes in master SHL
Law-School transmits prepped OCR forms to SHLA
typist types data onto OCR form
SHLA proofs OCR against SMFU, receives OCR from Law School, inputs new SINS
SHLA preps monthly-quarterly print-out. requests to data control Fills out OCR production run sheet for computer attendant.
Does scan on computer, turns in forms for ordering runs.
Data control receives memo request for monthly-quarterly print-outs.
Library receives update report P0451Q41
+
Library receives OCR edit run. P0451Q40
SHLA receives print outs
Serials cataloger proofs update report P0451Q41 against SMFUs and OCRs
SHLA distributes print outs.

SERIALS CHECK IN AND BINDING

Introduction

Upon receipt, materials are sorted into four categories: 1) current issues, unclassified (periodicals); 2) current issues, classified (indexes, abstracts, loose-leaf services, etc.); 3) added volumes, unclassified (bound periodicals); and 4) added volumes, classified (reference and circulating serials). The major routines for these categories of materials are described. The most important subroutines are described after the major routines.

Current Issues, Unclassified (periodicals)

The entry is found in the Kardex. The enumeration and date of receipt are recorded in the Kardex; the entry is marked on the cover of the periodical. The issues are sorted into piles according to location. Issues sent to special locations are property stamped. Most issues are sent to the periodicals area and are stamped there. If a volume is ready to bind, a call-to-bind card is completed and the Kardex is annotated.

Current Issues, Classified (indexes, abstracts, loose-leaf services, etc.)

These materials are processed in the same way as current periodical issues. The only differences are that the call number is recorded on the cover of the issue, and on the envelope in the case of loose-leaf services. Call-to-bind cards are sent to the Reference Assistant, but indexes and abstracts are never called to be bound. All materials are stamped and then sent to the Reference Area.

Added Volumes, Unclassified (bound periodicals)

Bound periodicals are recorded on OCLC. The record is called up, usually using the OCLC number on the binding patterns. The volume is examined to make sure that the spine information and the order of issues are correct. Incorrect volumes are returned to the Bindery Assistant. The enumeration and chronology are entered online. Volumes are counted, bindery patterns are pulled from the periodicals area, and the volumes are sent for shelving. Subroutines: If there is a skip in the run, the reason for the skip is determined and anomalies are corrected. If the volume is incomplete, the SHL is checked to make sure the word "incomplete" appears there. The SHL is also changed if the volume fills in a previously incomplete run. If the title has been discontinued, the LDR is proofread to make sure it reflects the retrospective nature of the title. If the volume is prebound, the date of receipt is also added to OCLC and the volume is sent to the Bindery Assistant for physical processing. If the title is a microform, the entry is underscored, the date field is also added on OCLC, and paper issues are discarded or rerouted if so indicated.

Added Volumes, Classified (reference and circulating serials)

The entry is found in the Kardex. The main entry and title are underscored. If the Kardex indicates processing as a monograph, the

Kardex information is recorded on a "white slip" and delivered to Monographs. If the title is treated as a serial, the enumeration, chronology, date of receipt, and accession number are recorded in the Kardex. The call number and accession number are recorded on the volume. For reference serials, a pink slip is filled out and volumes are placed on a separate truck. For circulating and reference serials, labels are typed and proofread. The non-circulating volumes are sent to the bindery area for physical processing and security stripping. The circulating volumes are stripped and sent to Monographs for physical processing. Classified microforms are checked-in in the same manner, but processed differently. They are not accessioned, stripped, or processed by Monographs, and are labeled by pen.

Withdrawn and Superseded Volumes

Materials to be withdrawn or superseded are identified during check in. Forms are filled out and the material is gathered. Withdrawn volumes are crossed off the Kardex. The volumes are stamped 'cancelled' (except fiches), and discarded. For redirected serials, the new location is written next to the ennumeration in the Kardex. The proper call number is written on the volume and the item is relabeled.

Subroutine: Unsolicited

When materials cannot be found in the Kardex, an unsolicited serials form is used. Under various entries, the following files are checked: Kardexes, discard file, unestablished shelf, SHL and/or "dead Kardex" file. If the entry is found, the materials are processed (either checked in, discarded or sent to Cataloging). If not found, the materials are either sent to Cataloging (documents, annuals, etc.) or placed on the unsolicited shelf (dailies, weeklies through quarterlies). If a second issue is received, the materials are sent to Cataloging, reviewed for addition to the collection as an ongoing gift, or withdrawn. If no more issues are received after seven months, the materials are treated as a sample. The unsolicited routine has many variations which are fully documented in a procedure.

Subroutine: Claiming

For skipped issues claiming, a "c" is marked in the Kardex, a preliminary claim form is filled out, checked after one week, and typed and mailed if the materials are still not received. (Skipped issues of documents, however, are treated as missing serials). Lapses in receipt are discovered through review of the Kardex and/or payment records but the rest of the procedure is the same as for skipped issues. (Lapsed documents, however, receive special treatment -- see flow chart).

When the materials are received in response to a claim, they are checked in and the claim form is discarded. Other responses could be: materials sent, out of print, not yet published, suspended, or ceased. Each case is treated differently (see chart). If no response is received after three months, a second claim is sent and the Kardex is so annotated. If there is still no response after another three months, the Kardex is again annotated and the claim file is sent to the Acquisition Supervisor as a problem.

Subroutine: Temporary Cards and Cards Out

When temporary cards (yellow for "new" titles) are found in the Kardex, materials are checked in on those temporary cards and sent to the In-Process Shelf. If temporary cards (orange "card-out" cards) are found, the permanent cards are looked for (usually in Cataloging). When the cards are found, the materials are checked-in and sent to the shelf, unless there is a problem, in which case the volume remains in Cataloging. If the cards cannot be found, an inventory is conducted and a replacement card is made.

Subroutine: Title Changes

Once a title change has been detected and issues for the new title have arrived, card-out cards for the old title are put in the Kardex and a temporary card is put in the Kardex for the new title.

For classified serials, the regular cataloging procedure follows. (See cataloging flow chart and description) Next, the cataloging output is proofread, holdings are added to the Kardex, and the materials are processed as usual.

For unclassified serials, issues are retrieved from the shelf and an In-Process card is placed on the shelf. The materials are cataloged (see cataloging flow charts) and SHL forms are filled out for the old and new titles. A Kardex card is made for the new title; the old Kardex is filed in the "dead" box; the payment records are changed. A Call-to-Bind is filled out for the old title; the volumes are prepared for binding; the binding pattern is made inactive; a special check of the LDR and SHL are made when the volume returns from the bindery.

Meanwhile, the new title, and all the paper work, is processed. The issues are checked-in, an LDR is made for the new title and the LDR's closed out for the old title. The bib record is updated for the old title, the Kardex pocket is closed, the Kardex card for the new title is filed. A shelf tag is made and other processing is completed by the Periodicals staff. The SHL is updated.

Subroutine: Discontinuances

Discontinuances are caused when Collection Development cancels a title or when the publisher ceases issuing the title. When Collection Development cancels the title, the acquisitions records are closed, and a cancellation code is added to the SHL and the union list fields of the LDR. When the Serials staff discovers that a title has ceased, the top part of a discontinuance form is filled out, acquisition records are closed, and Collection Development then decides on the disposition of the materials.

Discontinuace forms are filed in the Kardex until the last issue is received.

For classified serials, when the last issue is received, the Kardex card is replaced by a temporary card. If the materials are to be discarded, the catalog cards and volumes are withdrawn. Book cards for circulating materials are sent to Monographs. The temporary card is removed from the Kardex, and OCLC and archive tape holdings are cancelled.

For unclassified serials, when the last issue is received, the Kardex card is replaced by a temporary card. An In-Process card is filled out and placed on the shelf; the issues are gathered; a printout of the LDR and bib record are made. The cataloger annotates the printouts. If the title is to be retained, the bib record and LDR are updated, a call-to-bind card is filled out, the issues are sent to the bindery, the bindery pattern is made inactive, and the temporary card is removed from the Kardex. For materials which are to be discarded, the bib record and LDR are cancelled, the issues are withdrawn, the Kardex card is discarded, and the temporary card is removed.

For both classified and unclassified discontinuances, the SHL Assistant updates the SHL, the Cataloger reviews discontinuance forms and assures that the entire process was carried out correctly, and the Serials Acquisitions Supervisor files the discontinuance form in the red binders.

The cataloging procedures are given in more detail in the Review of Current Systems for Cataloging.

Binding

Materials are gathered, if necessary, put in good order, and a bindery pattern is found in the file. A photocopy of the pattern is made, the pattern is filled out, one copy is attached to the volume and the other is filed at the Periodicals Desk. Twice a month, the outgoing shipment is checked for errors, boxed, and counted. The outgoing shipment is picked up, the incoming shipment is delivered. Physical processing is carried out, the volumes are checked for errors, and are sent to be checked in; the bindery file is updated, and invoices are approved.

Subroutine: Incomplete Volumes

If the title is routed to an academic department, the Periodicals Supervisor is notified. For other titles, the Kardex is checked. If the issue was never received, it is claimed and the issues are marked and returned to the shelf. If the issue was received, it is searched for. If it cannot be found, the issues are marked and returned to the shelf and a missing serials card is sent to Collection Development.

Physical Processing

Periodicals are stamped, security stripped, and, if necessary, labeled with a "Periodicals" sticker. If the spine title is not correct, the volume is labeled. Classified serials are stamped and stripped. Call number labels are typed, proofread and affixed to the volumes. The volumes are sorted by location and delivered.

MEMORANDUM

TO: George Lupone

Feb. 14, 1986
DATE

FROM: Carol Patrick

SUBJECT: 1984/1985 Statistics per your request

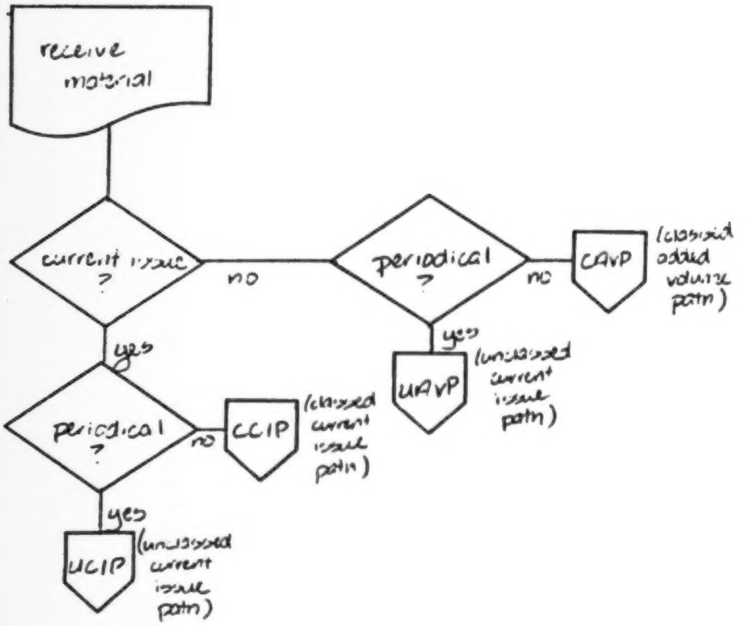
VOLUMES BOUND		5,566
DISCONTINUANCES		181
PIECES RECEIVED		68,206
unclassified serials	31,037	
business services	5,066	
abstacts/indexes	2,724	
other current issues	1,256	
discarded	1,247	
microforms (periodicals)	2,088	
B.D. vols.(periodicals) K and O.C.L.C.	5,079	
added volumes	2,904	
vols. from bindery	663	
vols. from mono. cataloging	1,388	
microforms(classed)	14,754	
UNESTABLISHED SERIALS		386
CLAIMS SENT		1,722
1st	1,347	
2nd	375	
SUPERSEDED AND WITHDRAWN CLASSIFIED SERIALS		782
vols. with accession #'s	411	
vols. without accession #'s	371	

CLEVELAND STATE UNIVERSITY

LOG OF SERIALS FORMS

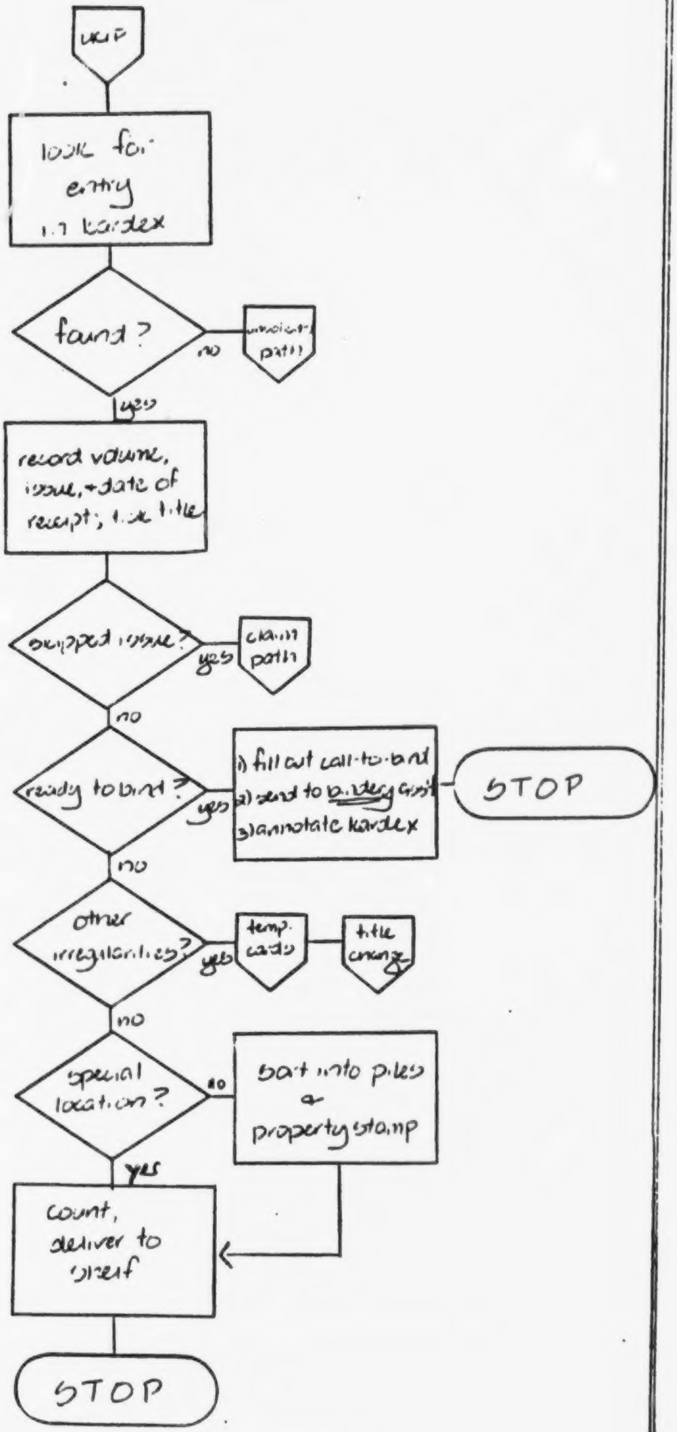
Lib. Ser. 82-1	Cancellation Letter	white
Lib. Ser. 82-2	Reference Serials	pink
Lib. Ser. 82-3	Retention of Monograph	buff
Lib. Ser. 82-4	Missing Serials	canary
Lib. Ser. 82-5	Status Report to Selector	white
Lib. Ser. 82-6	Serials Master File Update	white
Lib. Ser. 82-7	Periodical Routing Slip	canary
Lib. Ser. 82-8	Temporary Kardex Card	salmon
Lib. Ser. 83-1	Standing Order Routing Slip	green
Lib. Ser. 83-2	Classified Kardex Ruled Cards	buff
Lib. Ser. 83-3	Classified Kardex Monthly Cards	buff
Lib. Ser. 83-4	Classified Kardex Weekly Cards	buff
Lib. Ser. 83-5	Call to Bind Card	buff
Lib. Ser. 84-1	Sample Issue Slip	salmon
Lib. Ser. 84-2	Unsolicited Serials	white
Lib. Ser. 84-3	In Process Card	pink
Lib. Ser. 85-1	Discard Card	white
Lib. Ser. 85-2	Serials Discontinuance: Ceased	white
Lib. Ser. 85-3	Serials Discontinuance: Cancellation	white
Lib. Ser. 85-4	Claim Form	white
Lib. Ser. 85-5	Gift Claim Form	white
Lib. Ser. 85-6	Outstanding Order	white
Lib. Ser. 85-7	Monograph Received in Serials	white

Checking in Serials

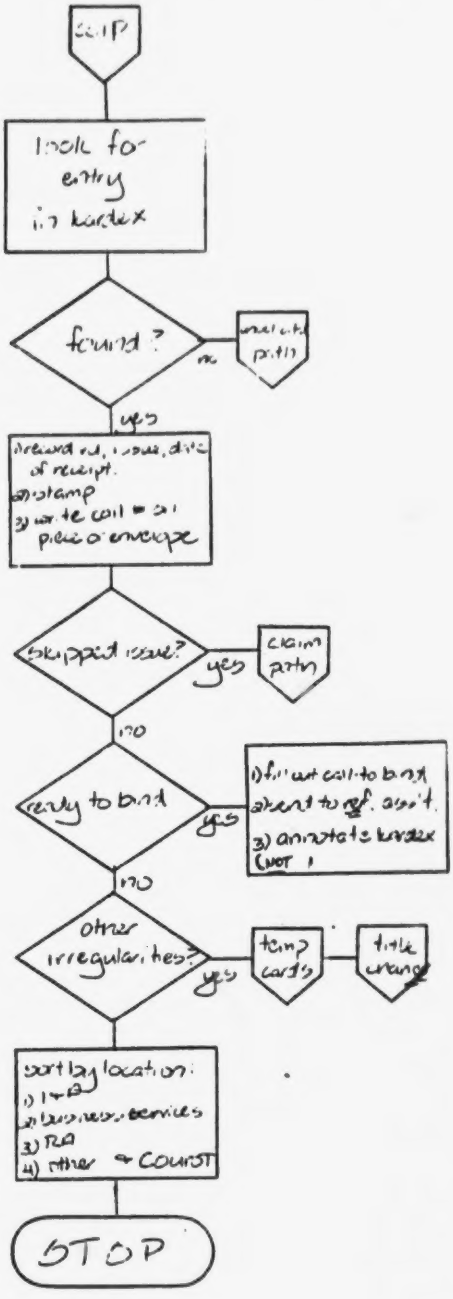

receive material
current issue ?
no
periodical ?
no
CAVP
(classified added volume path)
yes
UAVP
(unclassed current issue path)
yes
periodical ?
no
CCIP
(classed current issue path)
yes
UCIP
(unclassed current issue path)

Checking in Current Issues

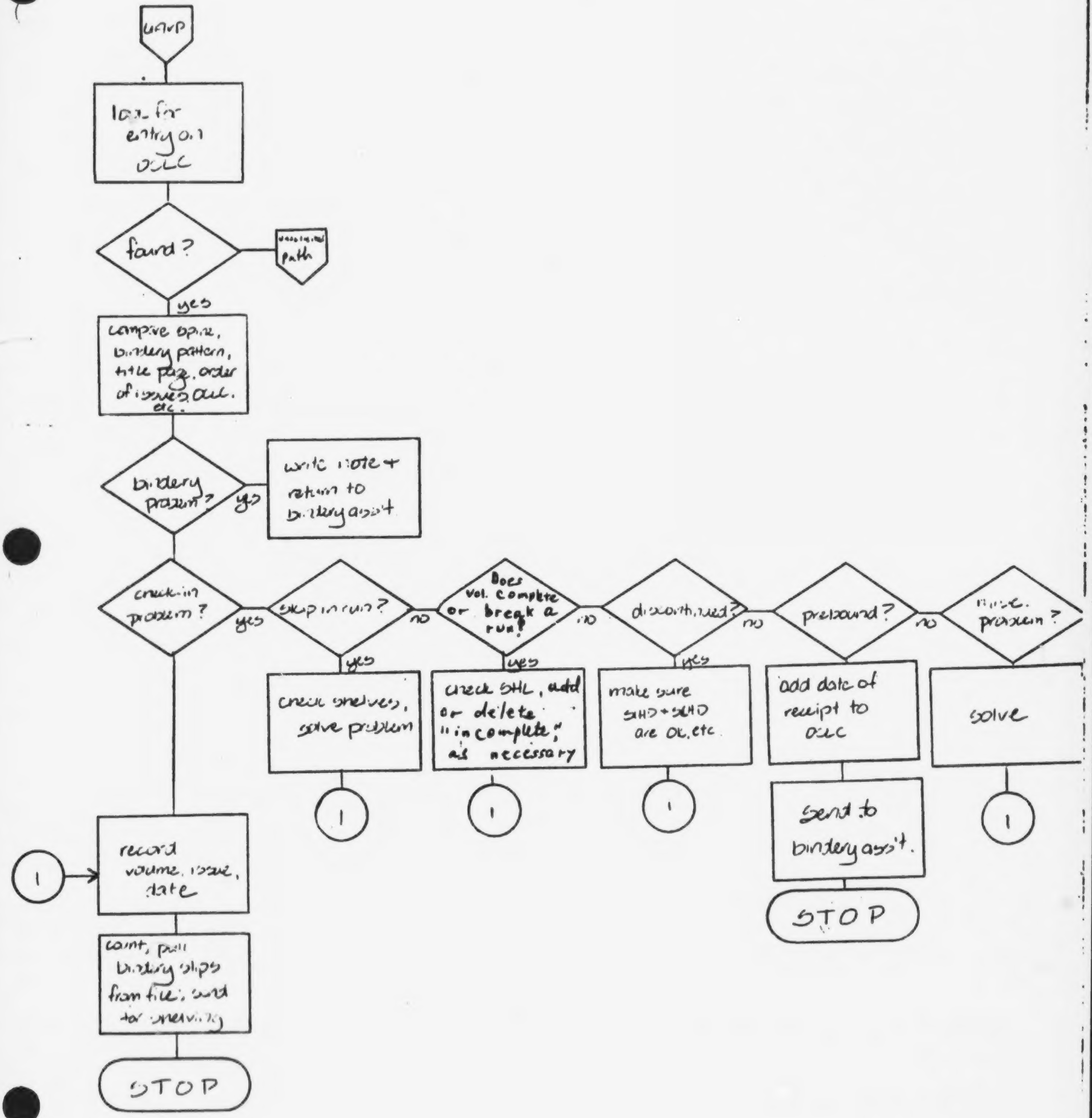
Unclassified:


UCIP
look for entry in kardex
found?
no
unclassified path
yes
record volume, issue, + date of receipt; tick title
skipped issue?
yes
claim path
no
ready to bind?
yes
1) fill out call-to-bind
2) send to bindery asst
3) annotate kardex
STOP
no
other irregularities?
yes
temp. cards
title change
no
special location?
no
sort into piles + property stamp
yes
count, deliver to shelf
STOP

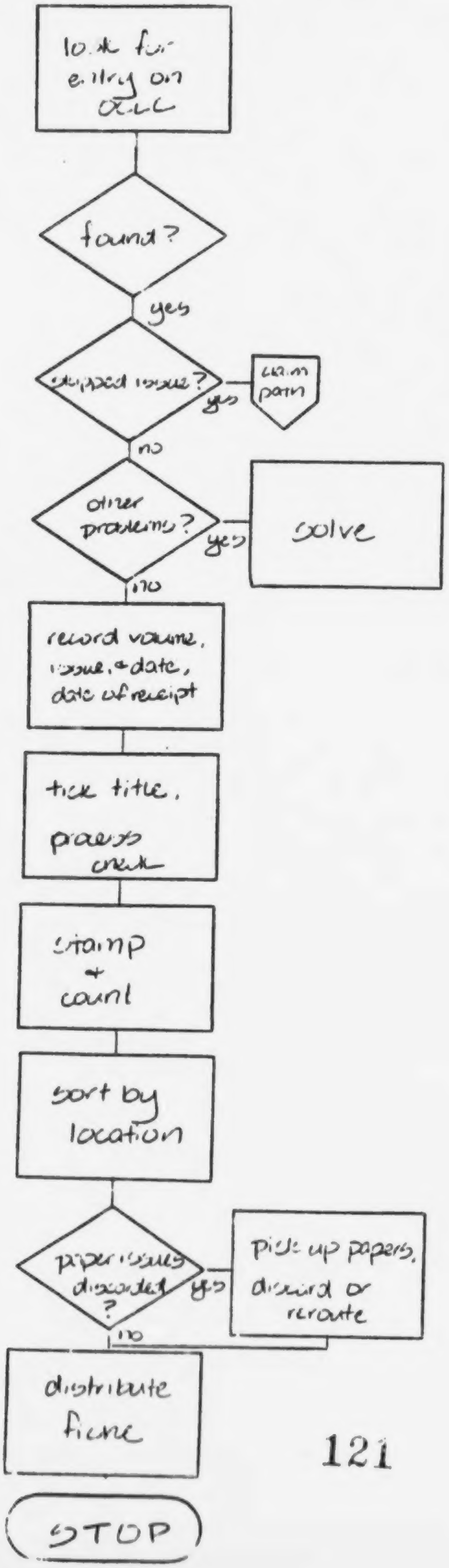
Classified:


CCIP
look for entry in kardex
found?
no
unclassified path
yes
1) record vol, issue, date of receipt.
2) stamp
3) write call # on piece or envelope
skipped issue?
yes
claim path
no
ready to bind
yes
1) fill out call-to bind
2) send to ref. ass't.
3) annotate kardex (NOT
no
other irregularities?
yes
temp cards
title change
sort by location:
1) I+R
2) business services
3) RA
4) other + COUNT
STOP

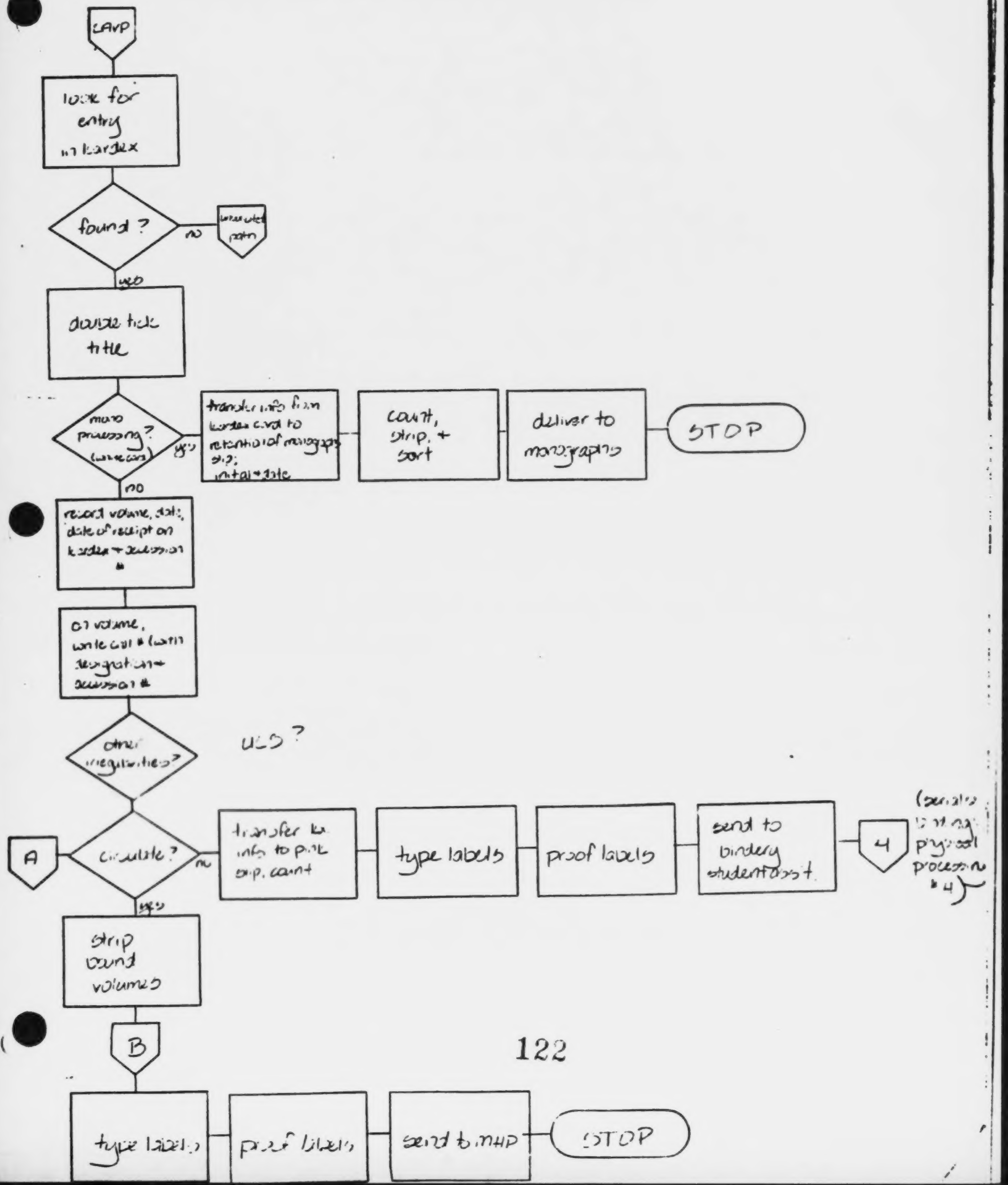
Checking in Unclassified Added Volumes


UAVP
look for entry on OCLC
found?
unclassified path
yes
compare spine, bindery pattern, title page, order of issues, OCLC, etc.
bindery problem?
yes
write note + return to bindery ass't
check-in problem?
yes
slip in run?
no
yes
check shelves, solve problem
1
Does vol. complete or break a run?
no
yes
check SHL, add or delete "incomplete," as necessary
1
discontinued?
no
yes
make sure SHD + SCHD are OK, etc.
1
prebound?
no
add date of receipt to OCLC
send to bindery ass't.
STOP
misc. problem?
solve
1
1
record volume, issue, date
count, pull bindery slips from file; send for shelving
STOP

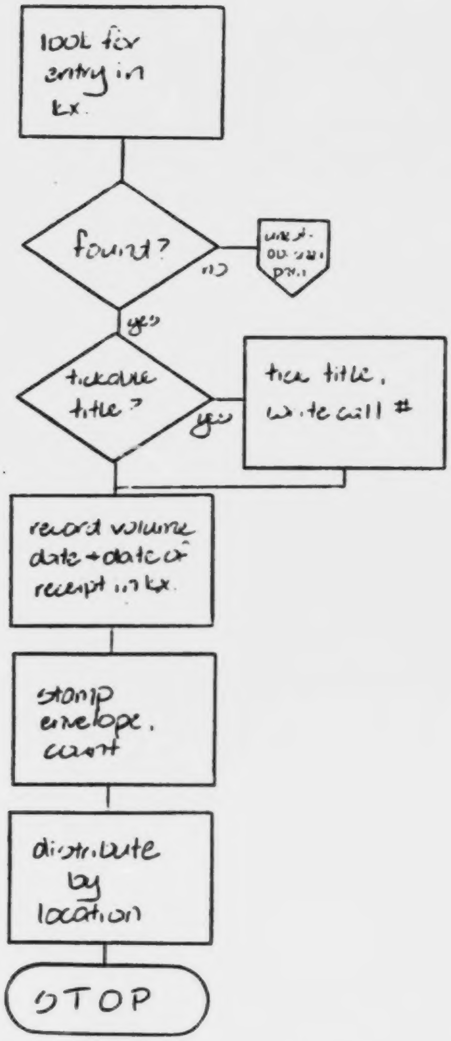
Unclassified Microfiche


look for entry on OCLC
found?
yes
skipped issue?
yes
claim path
no
other problems?
yes
solve
no
record volume, issue, & date, date of receipt
tick title, process check
stamp + count
sort by location
paper issues discarded?
yes
pick up papers, discard or reroute
no
distribute fiche
STOP

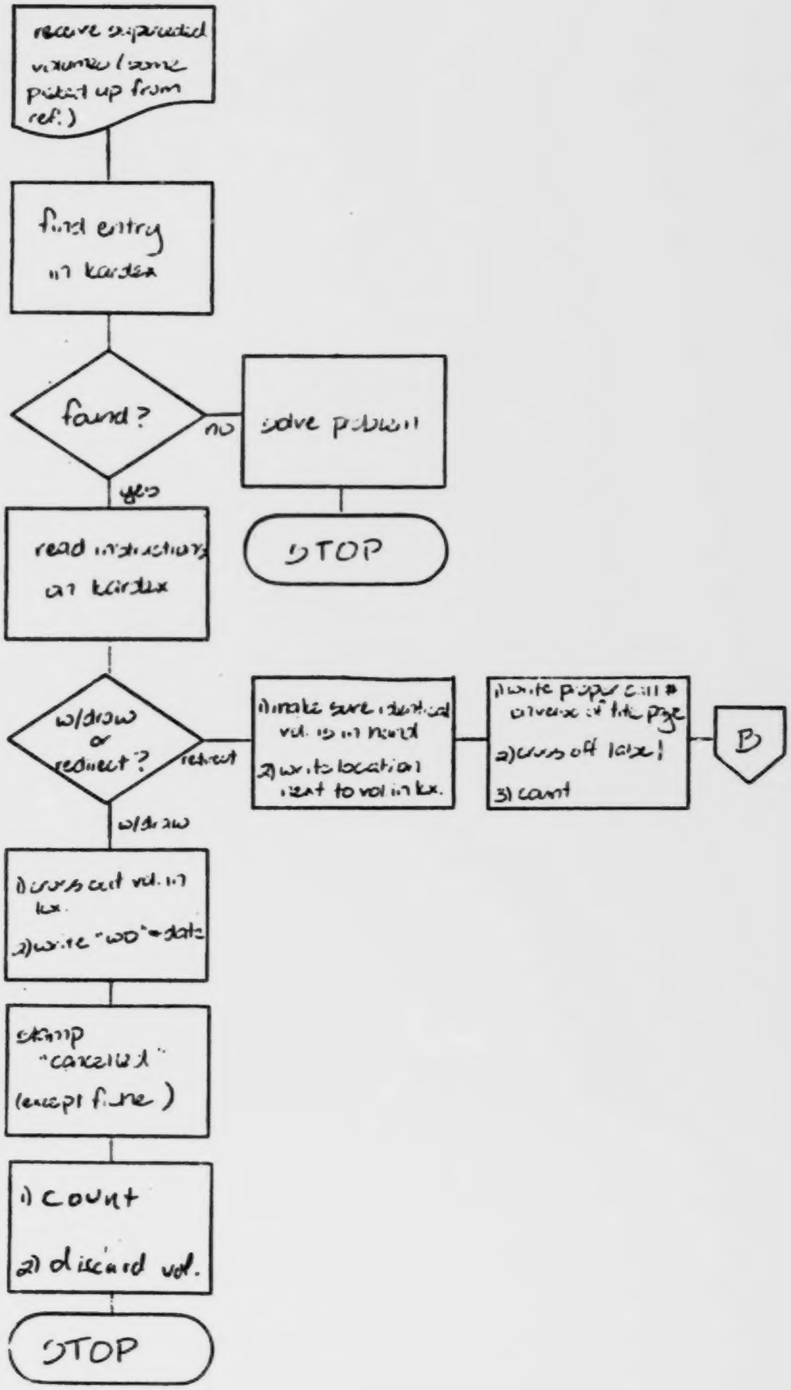
Checking in Classified Bound Volumes


CAVP
look for entry in kardex
found?
no
unrouted path
yes
double tick title
mono processing? (where can)
yes
transfer info from kardex card to retention of monograph slip; initial + date
count, strip, + sort
deliver to monographs
STOP
no
record volume, date, date of receipt on kardex + accession #
on volume, write call # (with designation + accession #
other irregularities?
UCS?
A
circulate?
no
transfer to info to pink slip, count
type labels
proof labels
send to bindery student assist.
4
(serials binding physical processing #4)
yes
strip bound volumes
B
type labels
proof labels
send to MHP
STOP

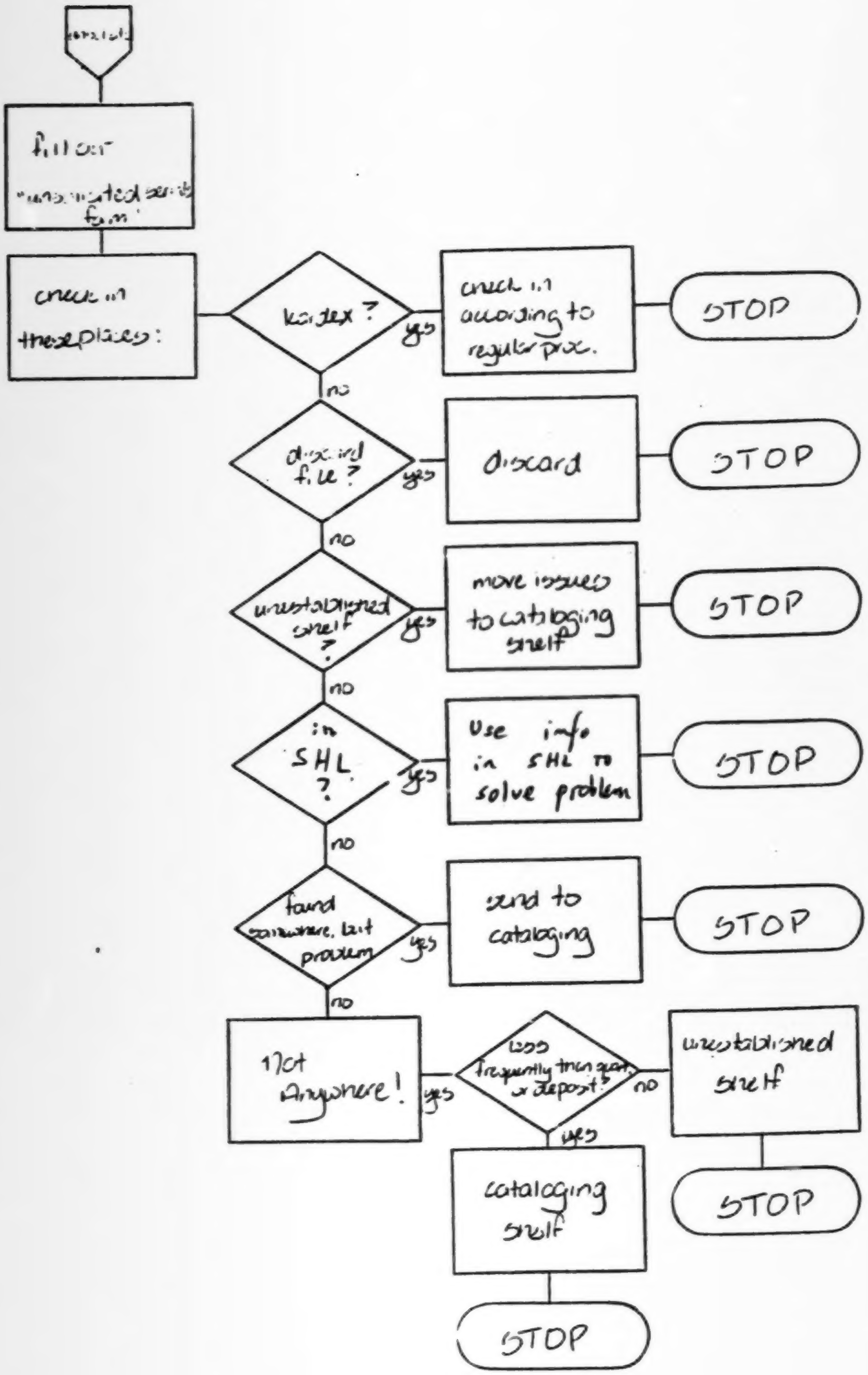
Classified Microfiche

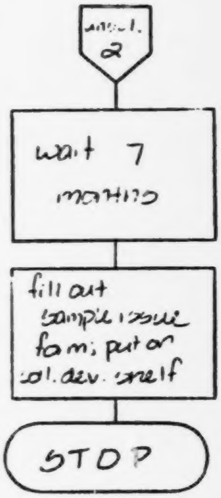

look for entry in kx.
found?
no
yes
tickable title?
yes
tick title, write call #
record volume date + date of receipt in kx.
stamp envelope, count
distribute by location
STOP

Withdrawn + Superceded Volumes

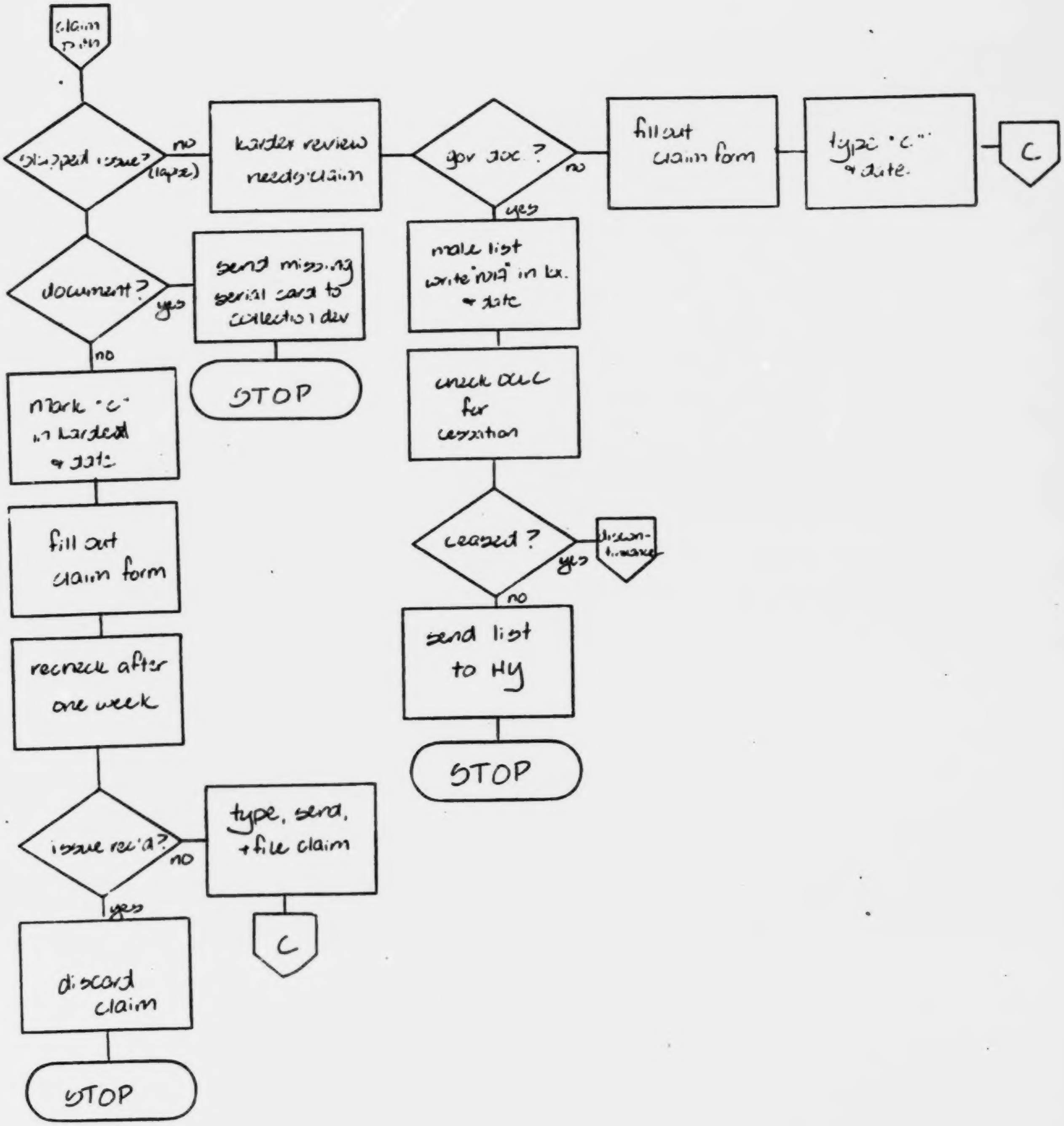

receive superceded volumes (some picked up from ref.)
find entry in kardex
found?
no
solve problem
STOP
yes
read instructions on kardex
w/draw or redirect?
redirect
1) make sure identical vol. is in hand
2) write location next to vol in kx.
1) write proper call # on reverse of title page
2) cross off label
3) count
B
w/draw
1) cross out vol. in kx.
2) write "WD" + date
stamp "cancelled" (except fine)
1) count
2) discard vol.
STOP

Unsolicited/unestablished

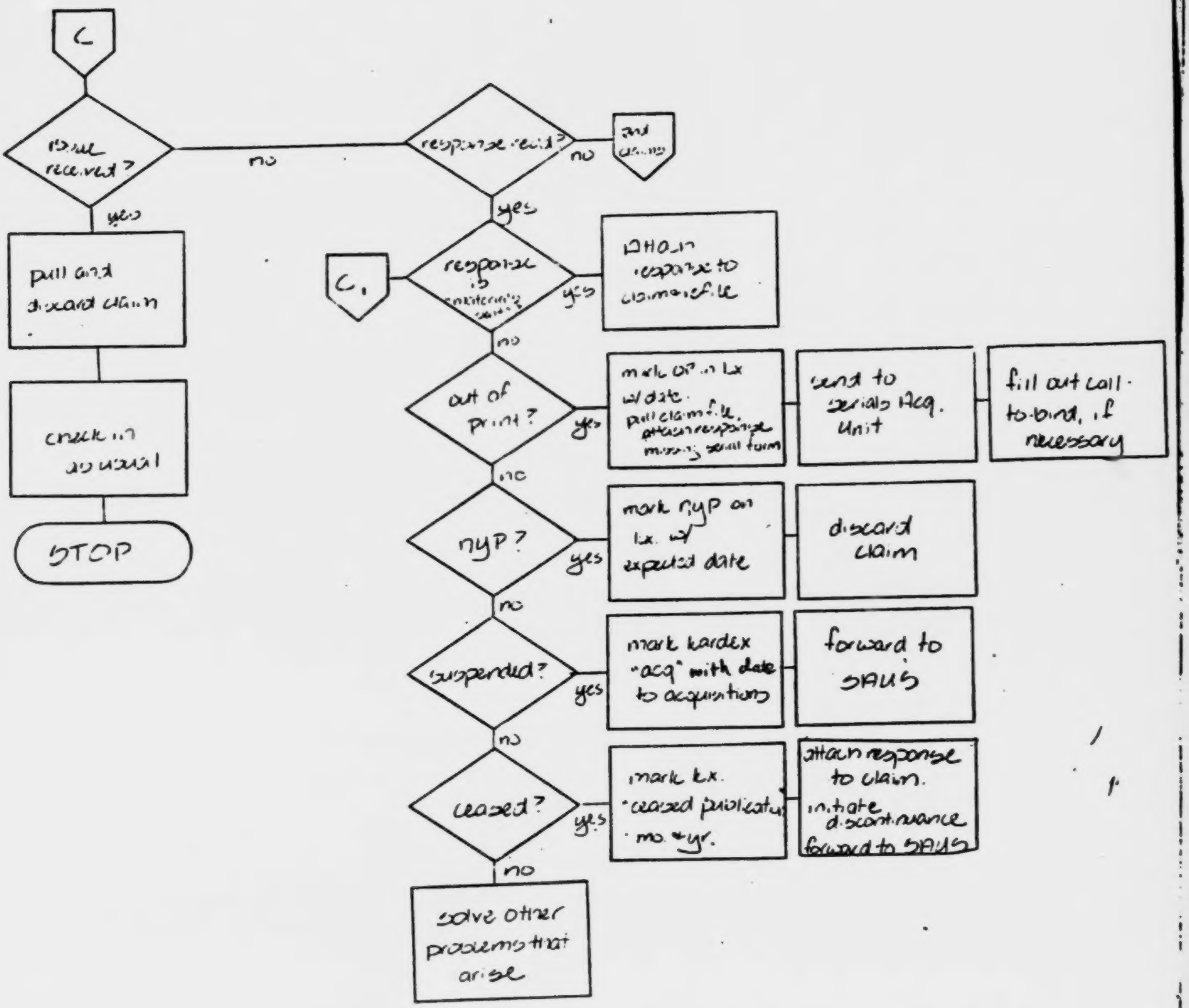

fill out
"unsolicited serials form"
check in
these places:
kardex?
yes
check in
according to
regular proc.
STOP
no
discard
file?
yes
discard
STOP
no
unestablished
shelf
?
yes
move issues
to cataloging
shelf
STOP
no
in
SHL
?
yes
Use info
in SHL to
solve problem
STOP
no
found
somewhere, but
problem
yes
send to
cataloging
STOP
no
Not
Anywhere!
yes
less
frequently than quart.
or deposit?
no
unestablished
shelf
STOP
yes
cataloging
shelf
STOP


unsol.
2
wait 7
months
fill out
sample issue
form; put on
col. dev. shelf
STOP

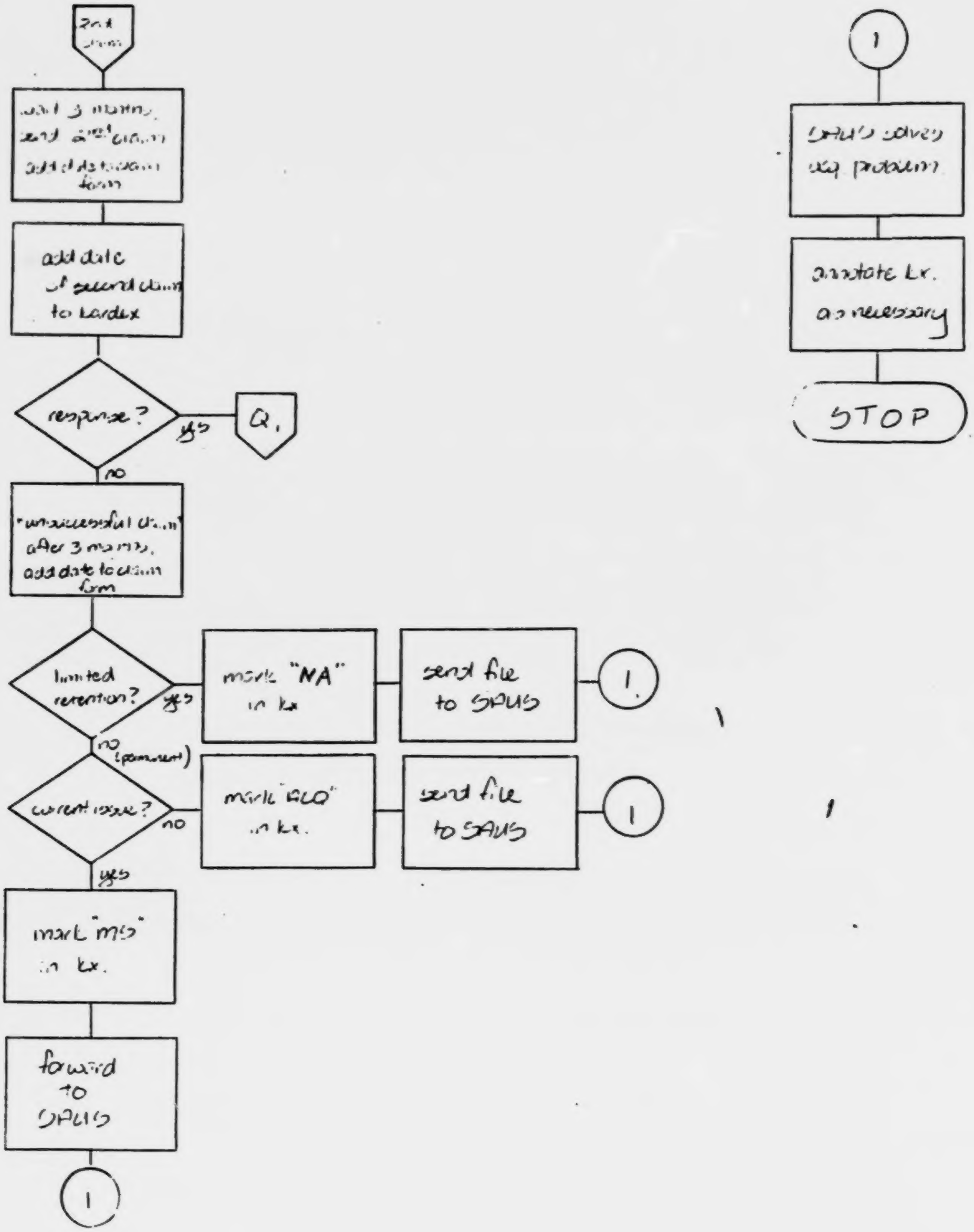
Sending Claims


claim prin
skipped issue?
no
(lapse)
kardex review
needs claim
gov doc?
no
yes
fill out
claim form
type "c"
+ date
C
document?
yes
no
send missing
serial card to
collection dev
STOP
make list
write "NA" in kx.
+ date
check OCLC
for
cessation
ceased?
yes
no
discon-
tinuance
mark "c"
in kardex
+ date
fill out
claim form
recheck after
one week
send list
to HY
STOP
issue rec'd?
no
yes
type, send,
+ file claim
C
discard
claim
STOP

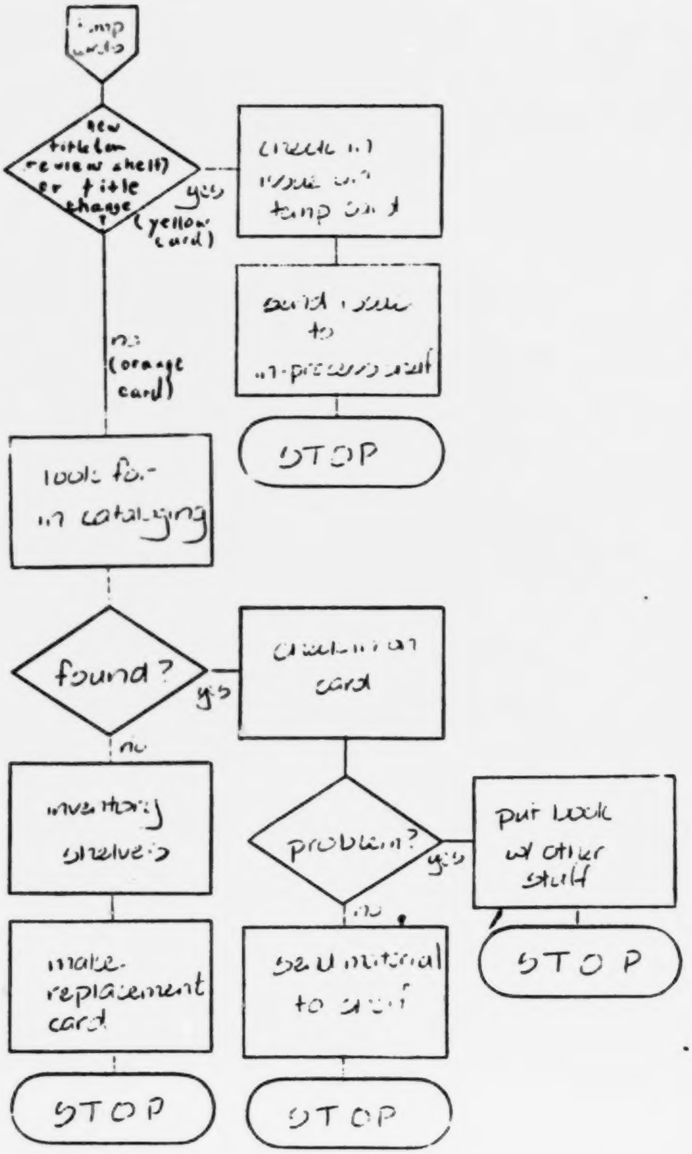
Claim Response


C
issue received?
no
yes
pull and discard claim
check in as usual
STOP
response rec'd?
no
2nd claim
yes
C1
response is satisfactory?
yes
attach response to claim+file
no
out of print?
yes
mark OP in kx w/date. pull claim file, attach response missing serial form
send to serials Acq. Unit
fill out call-to-bind, if necessary
no
nyp?
yes
mark nyp on kx. w/ expected date
discard claim
no
suspended?
yes
mark kardex "acq" with date to acquisitions
forward to SAUS
no
ceased?
yes
mark kx. "ceased publication" mo. + yr.
attach response to claim. initiate discontinuance forward to SAUS
no
solve other problems that arise

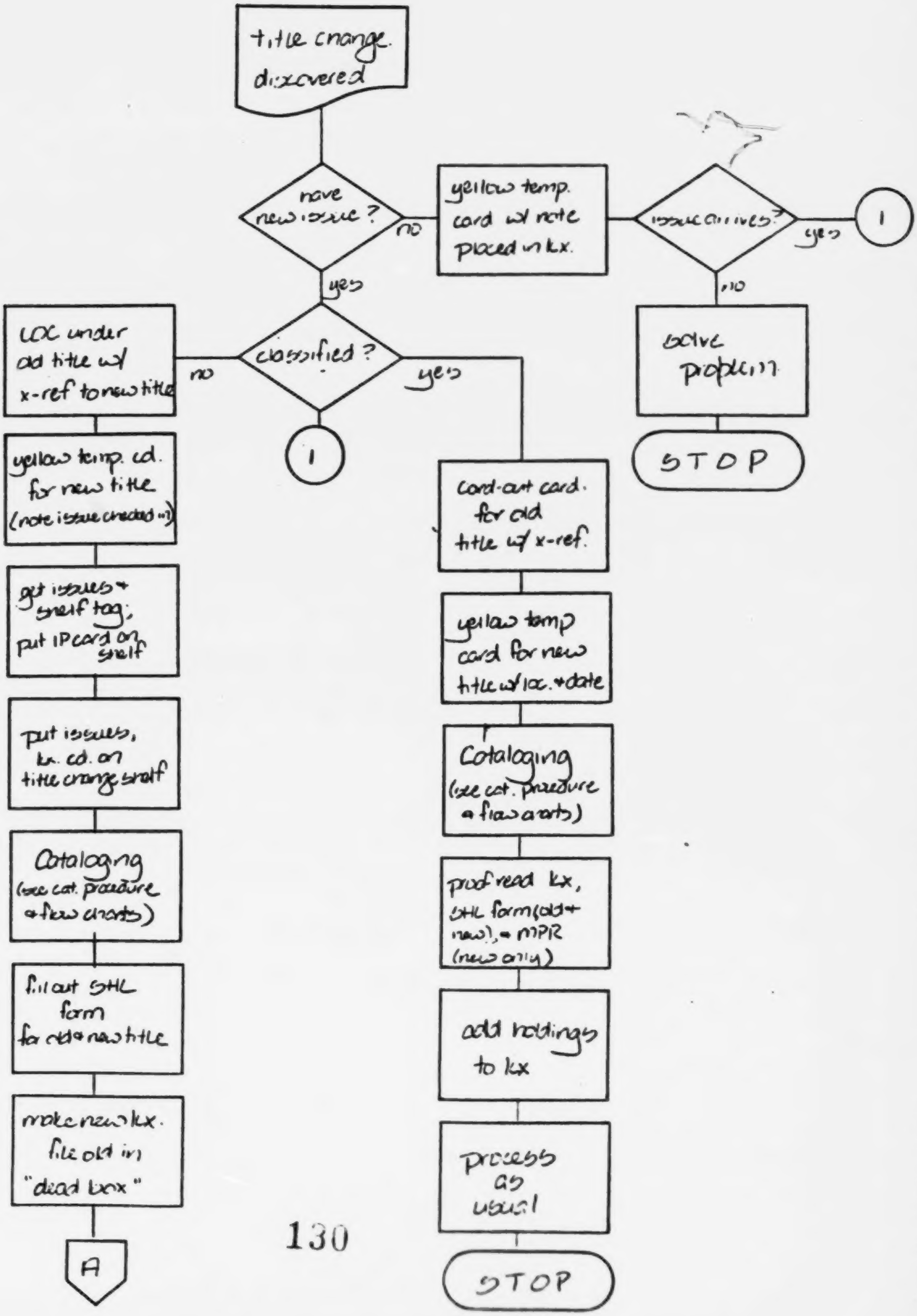
Second Claims

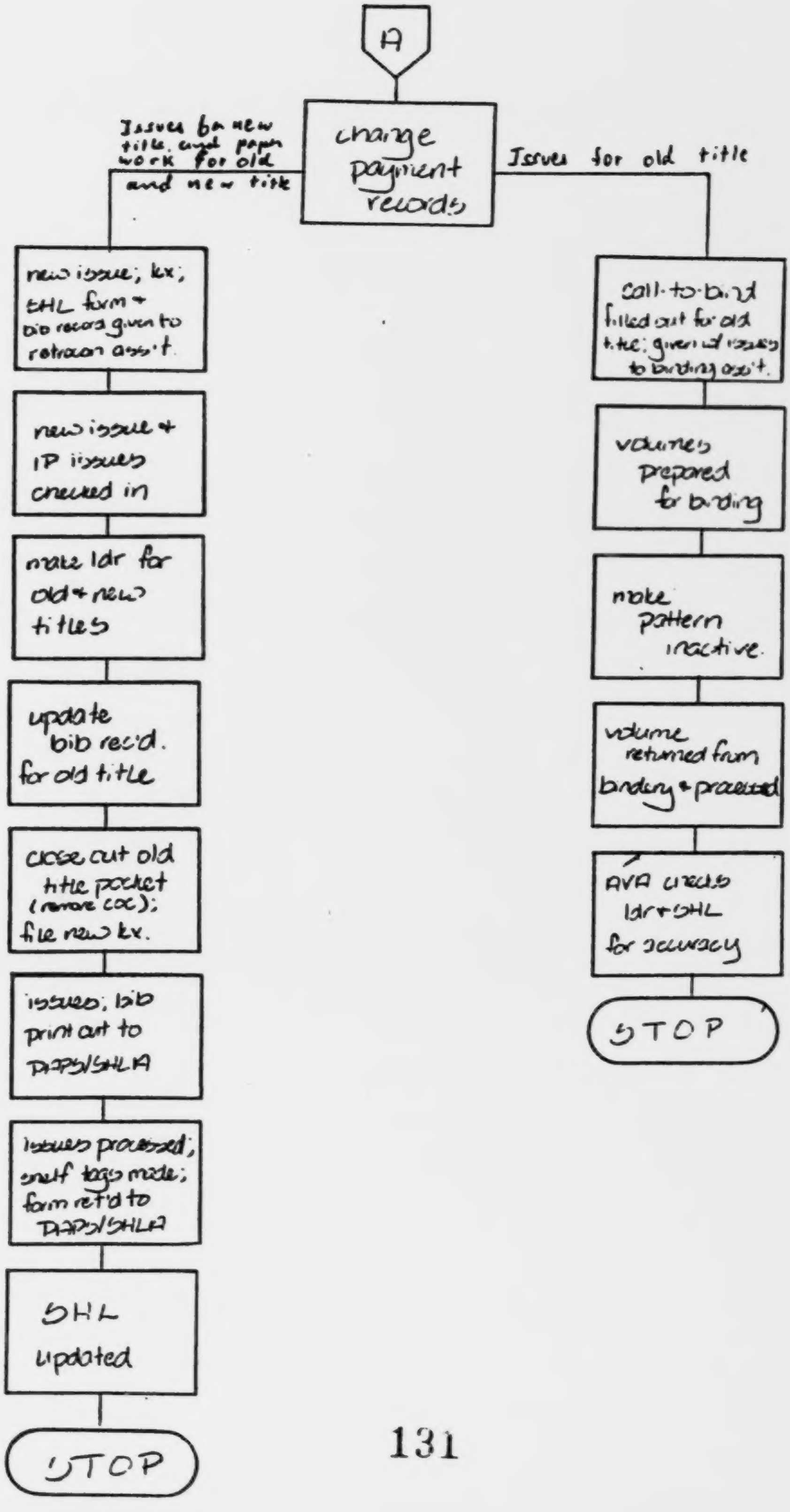

2nd claim
wait 3 months, send 2nd claim add date to claim form
add date of second claim to kardex
response?
yes
Q,
no
"unsuccessful claim" after 3 months, add date to claim form
limited retention?
yes
mark "NA" in kx
send file to SAUS
1.
no (permanent)
current issue?
no
mark "ACQ" in kx.
send file to SAUS
1
yes
mark "ms" in kx.
forward to SAUS
1
1
SAUS solves acq problem
annotate kx. as necessary
STOP

Temporary Cards

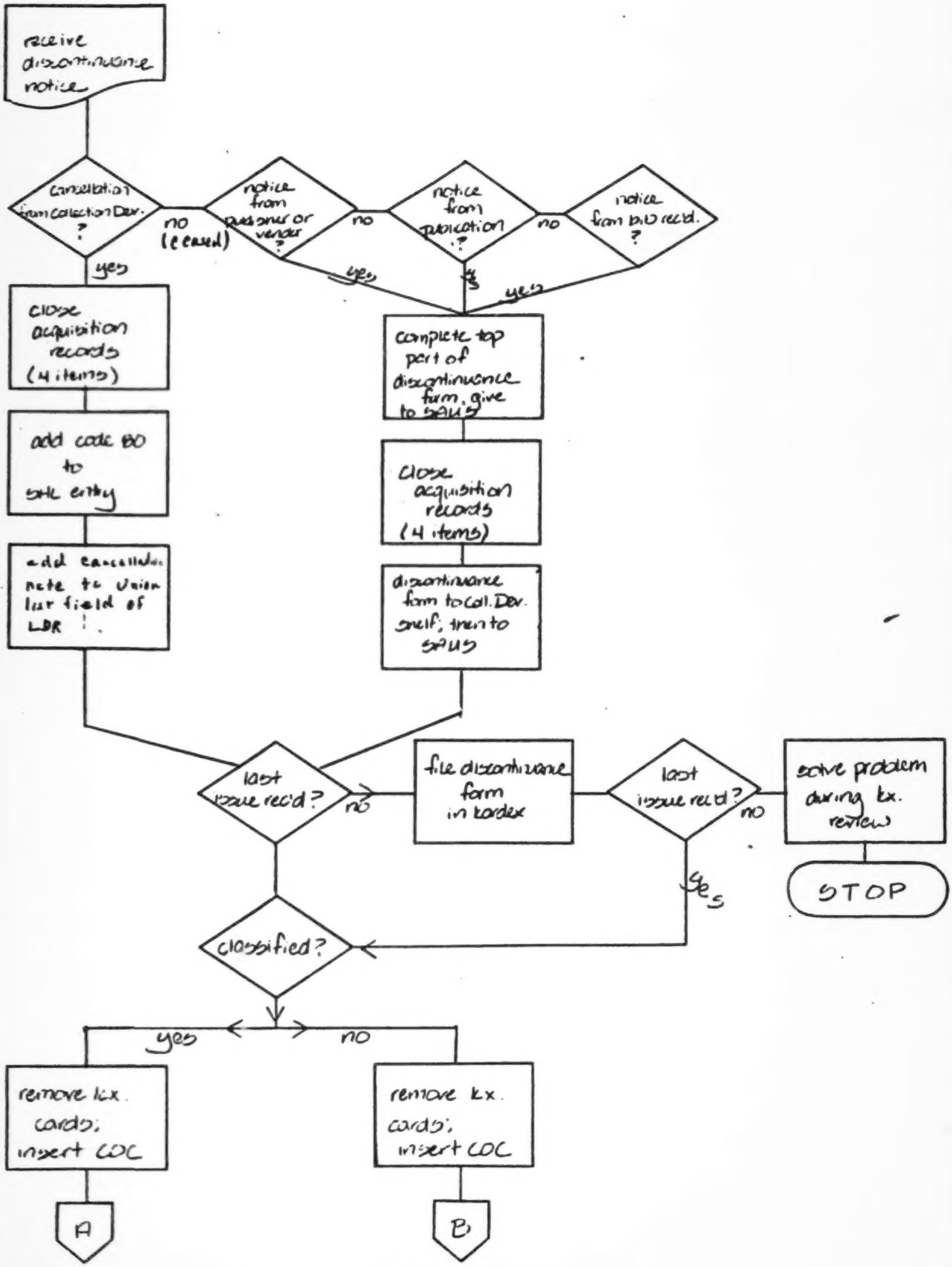

temp cards
new title (on review shelf) or title change?
yes (yellow card)
check in issue on temp card
send issue to in-process staff
STOP
no (orange card)
look for in cataloging
found?
yes
check in on card
no
inventory shelves
problem?
yes
put book w/ other stuff
STOP
no
make replacement card
send material to staff
STOP
STOP

Title Changes


title change discovered
have new issue?
no
yellow temp. card w/ note placed in kx.
issue arrives?
yes
1
no
solve problem
STOP
yes
classified?
no
loc under old title w/ x-ref to new title
1
yes
yellow temp. cd. for new title (note issue checked in)
get issues + shelf tag; put IP card on shelf
put issues, kx. cd. on title change shelf
Cataloging (see cat. procedure + flow charts)
fill out SHL form for old + new title
make new kx. file old in "dead box"
A
card-out card. for old title w/ x-ref.
yellow temp card for new title w/ loc. + date
Cataloging (see cat. procedure + flow charts)
proofread kx, SHL form (old + new), + MPR (new only)
add holdings to kx
process as usual
STOP

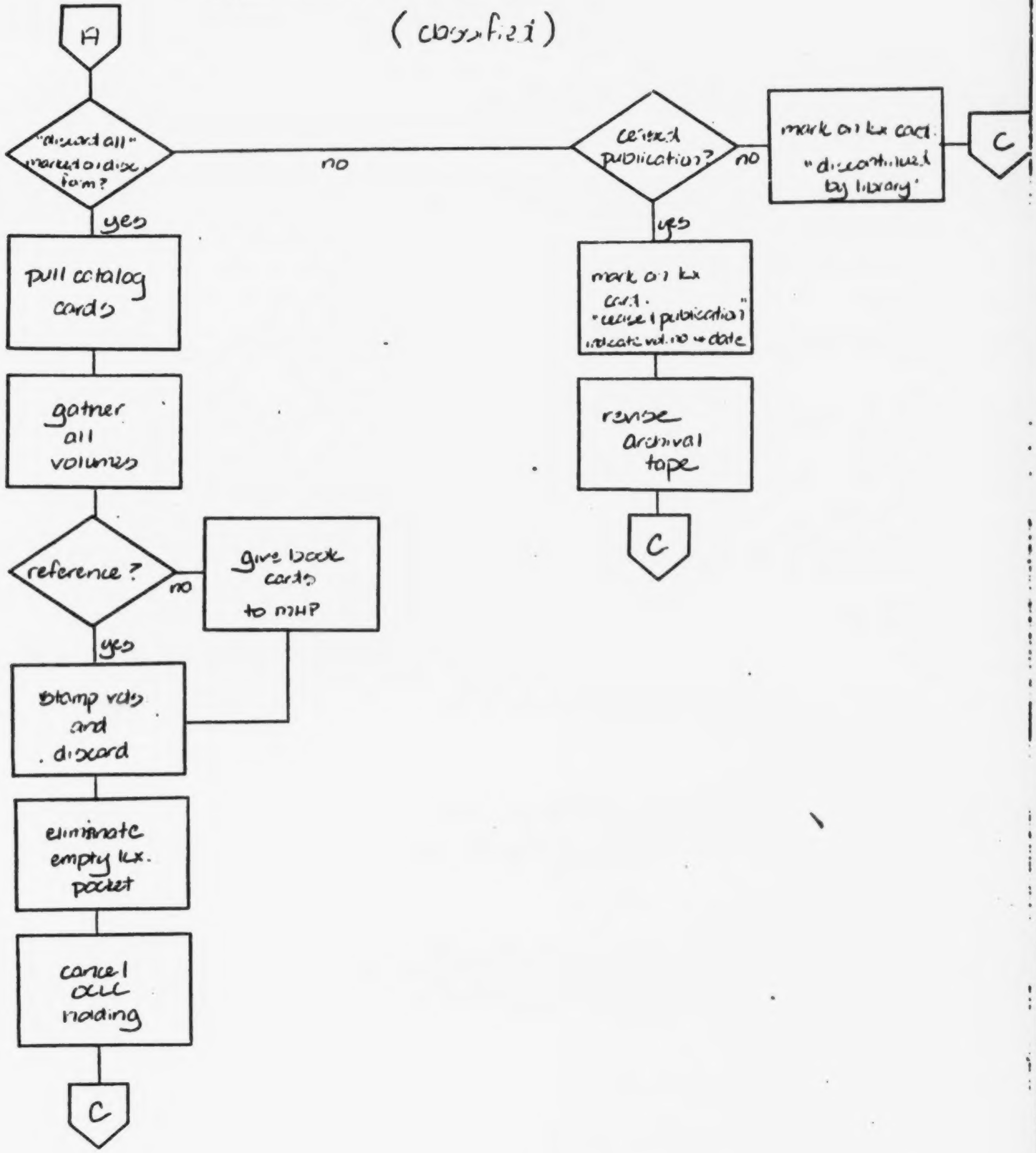

A
change payment records
Issues for new title, and paper work for old and new title
Issues for old title
new issue; kx; SHL form + bib record given to retrocon ass't.
new issue + IP issues checked in
make ldr for old + new titles
update bib rec'd. for old title
close out old title pocket (remove coc); file new kx.
issues; bib print out to DAPS/SHLA
issues processed; shelf tags made; form ret'd to DAPS/SHLA
SHL updated
STOP
call-to-bind filled out for old title; given w/ issues to binding ass't.
volumes prepared for binding
make pattern inactive.
volume returned from bindery + processed
AVA checks ldr + SHL for accuracy
STOP

Discontinuances

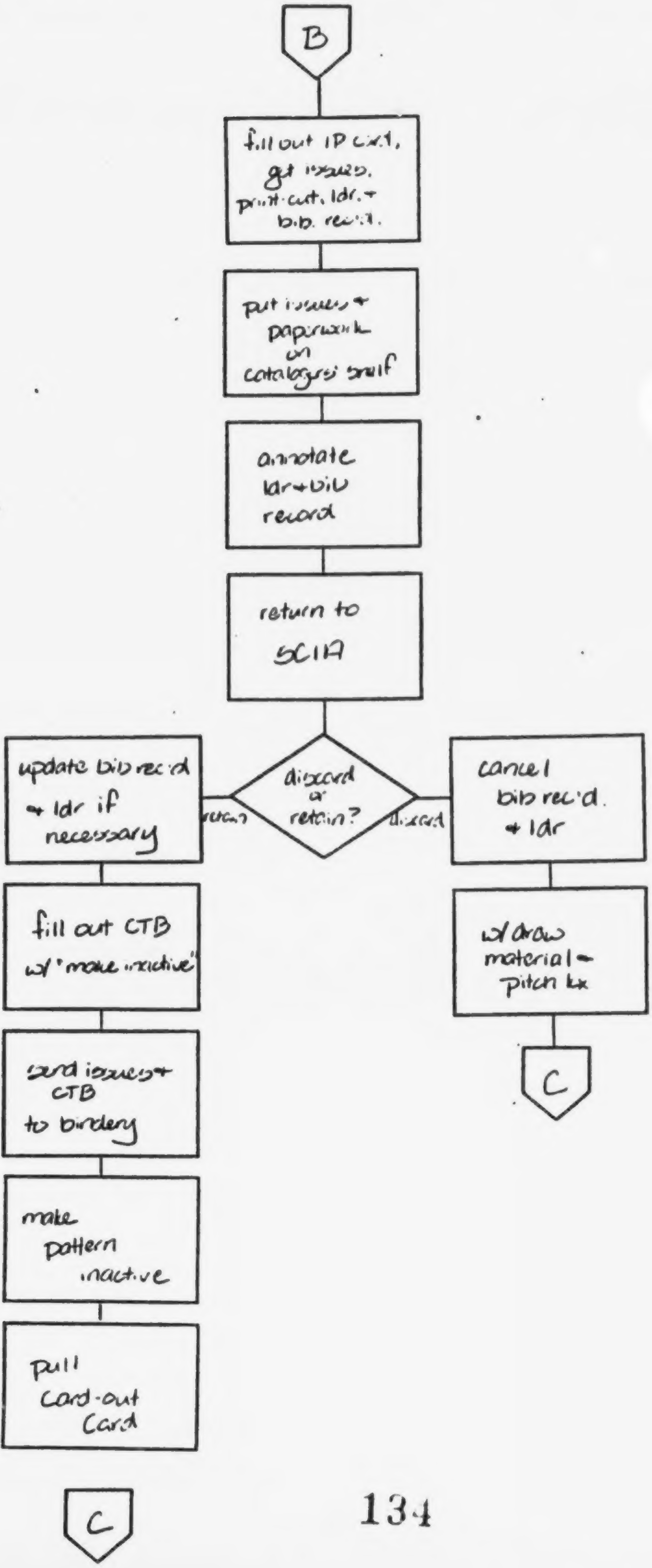

receive discontinuance notice
cancellation from Collection Dev. ?
yes
no (ceased)
notice from publisher or vendor ?
no
notice from publication ?
no
notice from bib record. ?
yes
yes
yes
close acquisition records (4 items)
add code BO to SHL entry
add cancellation note to Union list field of LDR !.
complete top part of discontinuance form, give to SAUS
close acquisition records (4 items)
discontinuance form to Coll. Dev. shelf; then to SAUS
last issue rec'd?
no
file discontinuance form in kardex
last issue rec'd?
no
yes
solve problem during kx. review
STOP
classified?
yes
no
remove kx. cards; insert COC
remove kx. cards; insert COC
A
B

Discontinuances (cont)

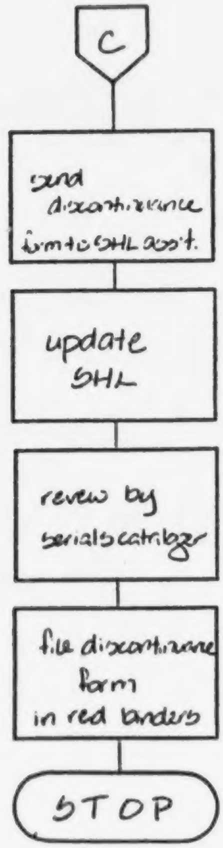
(classified)


A
"discard all" marked on disc. form?
no
ceased publication?
no
mark on kx card: "discontinued by library"
C
yes
mark on kx card. "ceased publication" indicate vol. no + date
revise archival tape
C
yes
pull catalog cards
gather all volumes
reference?
no
give book cards to MHP
yes
stamp vols and discard
eliminate empty kx. pocket
cancel OCLC holding
C

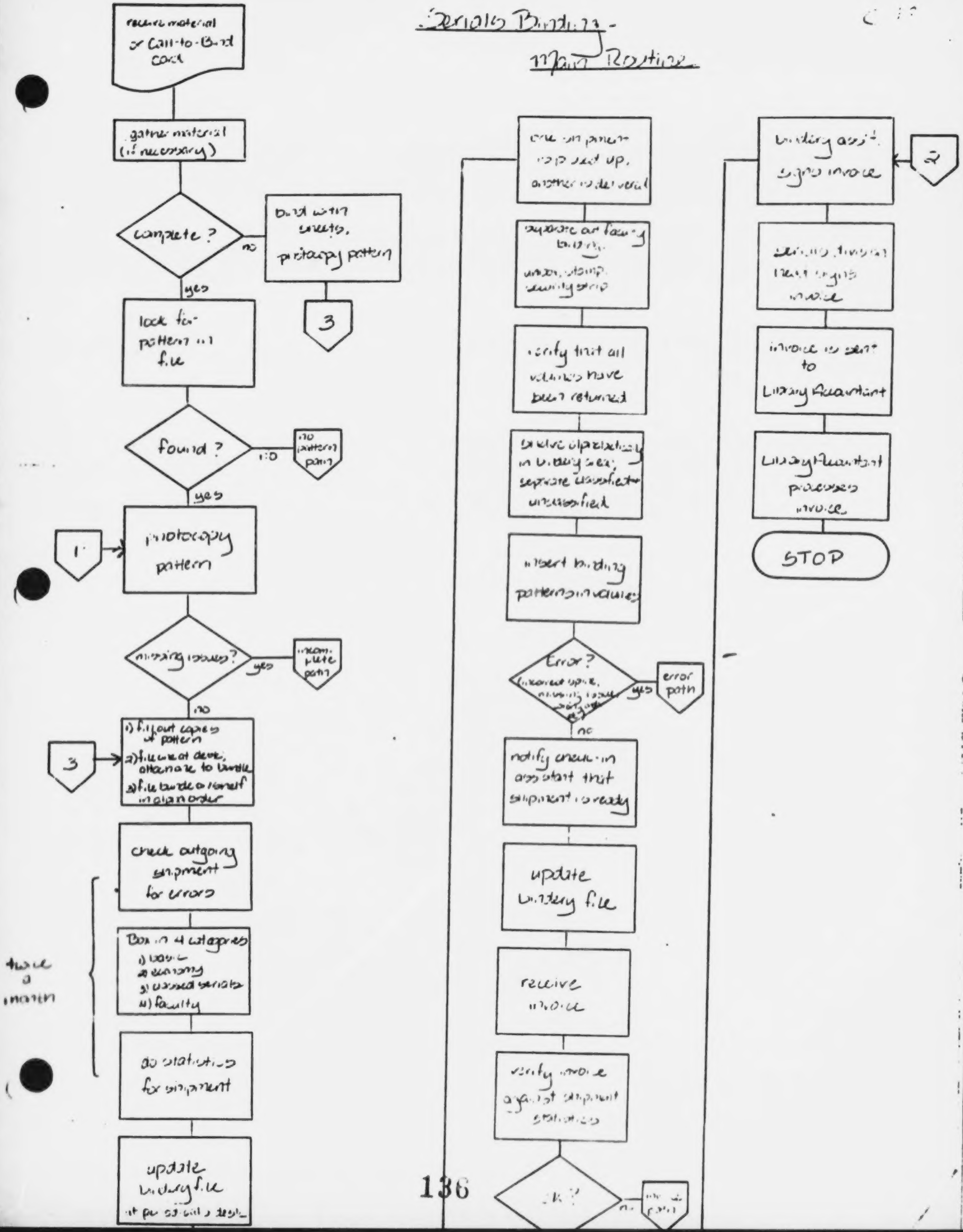
Discontinuances (con't)
(unclassified)



B
fill out IP card, get issues, print-out, ldr. + bib. rec'd.
put issues + paperwork on catalogers' shelf
annotate ldr + bib record
return to SCIA
discard or retain?
retain
discard
update bib rec'd + ldr if necessary
fill out CTB w/ "make inactive"
send issues + CTB to bindery
make pattern inactive
pull card-out card
C
cancel bib rec'd. + ldr
w/draw material + pitch bx
C


C
send discontinuance form to SHL ass't.
update SHL
review by serials catalger
file discontinuance form in red binders
STOP

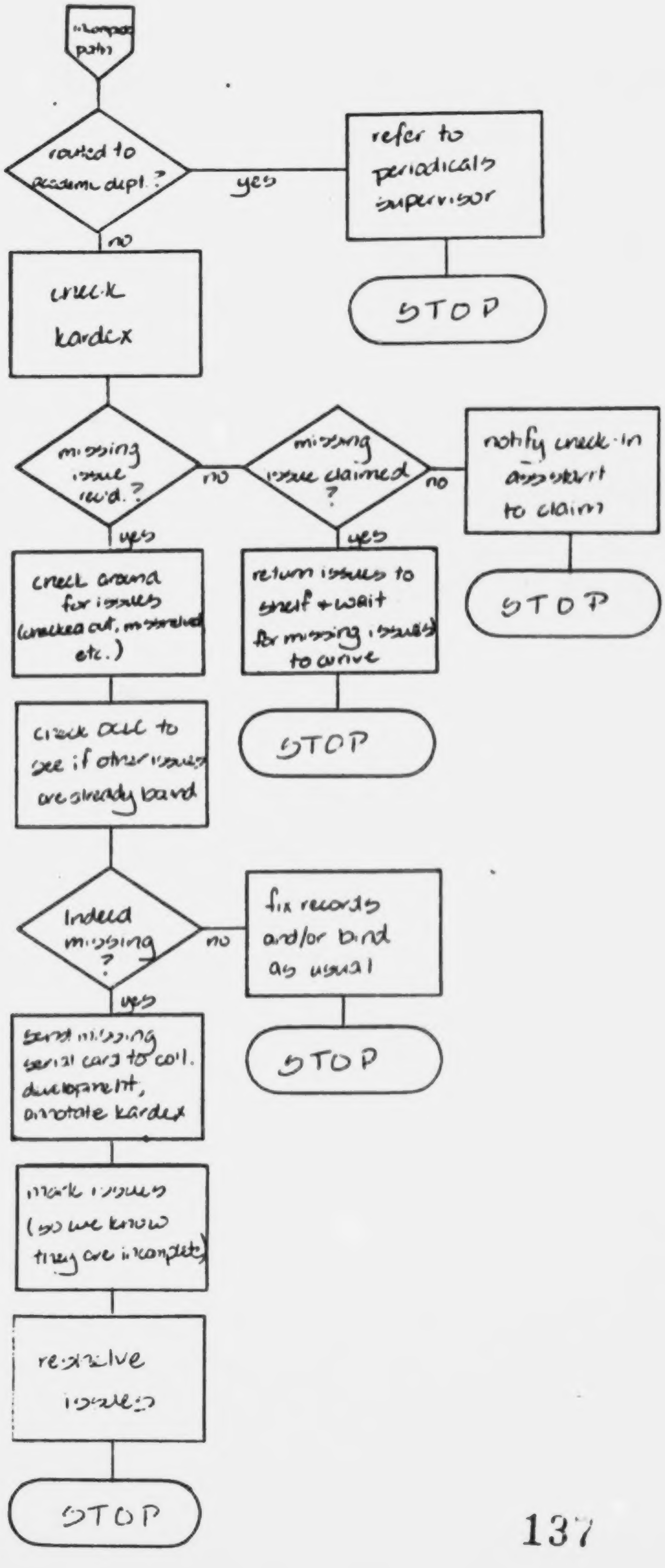
Serials Binding - Main Routine


receive material or Call-to-Bind card
gather material (if necessary)
complete?
no
bind within sheets, photocopy pattern
3
yes
look for pattern in file
found?
no
no pattern path
yes
1
photocopy pattern
missing issues?
yes
incomplete path
no
3
1) fill out copies of pattern
2) file one at desk, attach one to bundle
3) file bundle on shelf in alpha order
check outgoing shipment for errors
Box in 4 categories
1) basic
2) economy
3) classed serials
4) faculty
twice a month
do statistics for shipment
update bindery file
[illegible]
one shipment is picked up, another is delivered
separate out faculty binding
unbox, stamp, security strip
verify that all volumes have been returned
shelve alphabetically in bindery area; separate classified and unclassified
insert binding patterns in volumes
Error? (incorrect spine, missing issues, [illegible])
yes
error path
no
notify check-in assistant that shipment is ready
update bindery file
receive invoice
verify invoice against shipment statistics
ok?
no
invoice path
binding ass't signs invoice
2
serials division head signs invoice
invoice is sent to Library Accountant
Library Accountant processes invoice
STOP

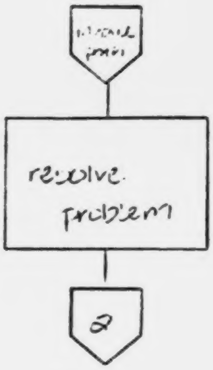
Serials Binding

c 1

Incomplete Volume

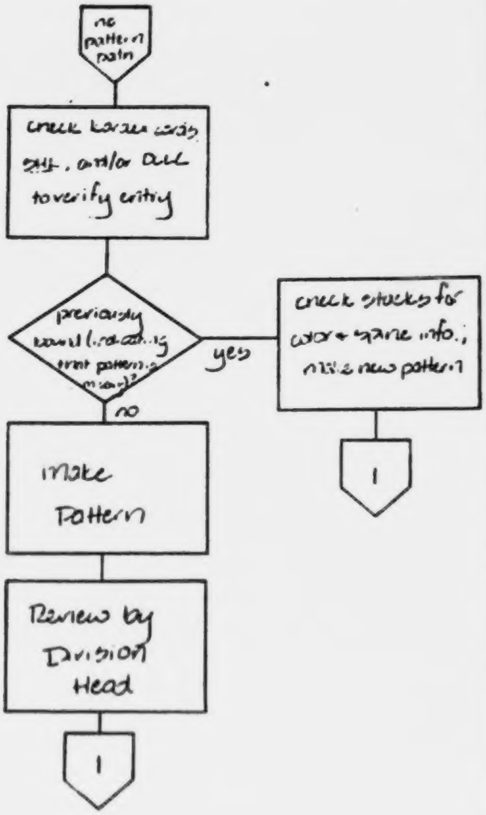

incomplete path
routed to academic dept.?
yes
refer to periodicals supervisor
STOP
no
check kardex
missing issue rec'd.?
no
missing issue claimed?
no
notify check-in assistant to claim
STOP
yes
return issues to shelf + wait for missing issues to arrive
STOP
yes
check around for issues (checked out, misshelved etc.)
check OCLC to see if other issues are already bound
Indeed missing?
no
fix records and/or bind as usual
STOP
yes
send missing serial card to coll. development, annotate kardex
mark issues (so we know they are incomplete)
resolve issues
STOP

Invoice Problem:

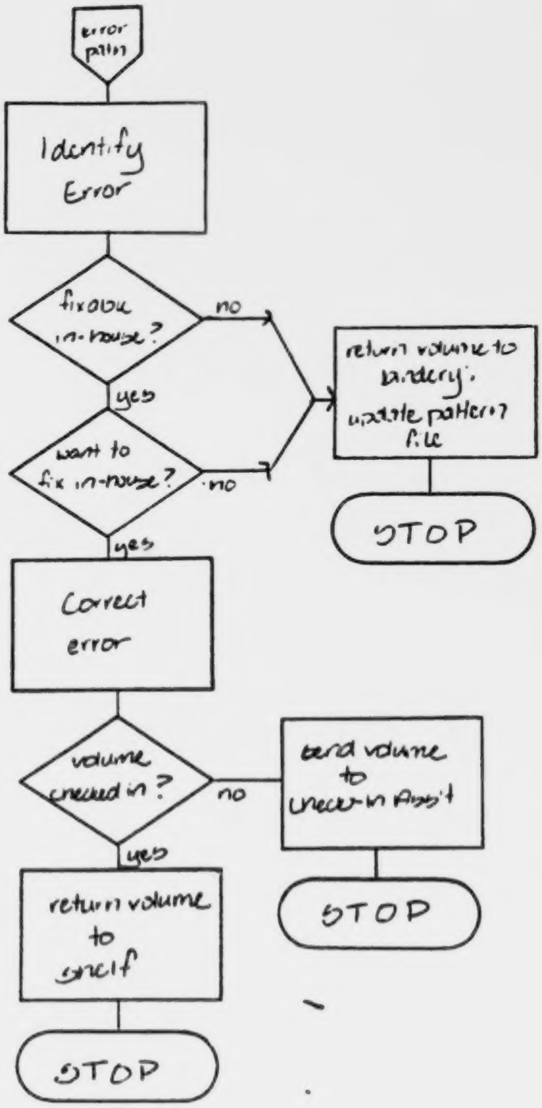

invoice path
resolve problem
2

Serials Binding

No Bindery Pattern:

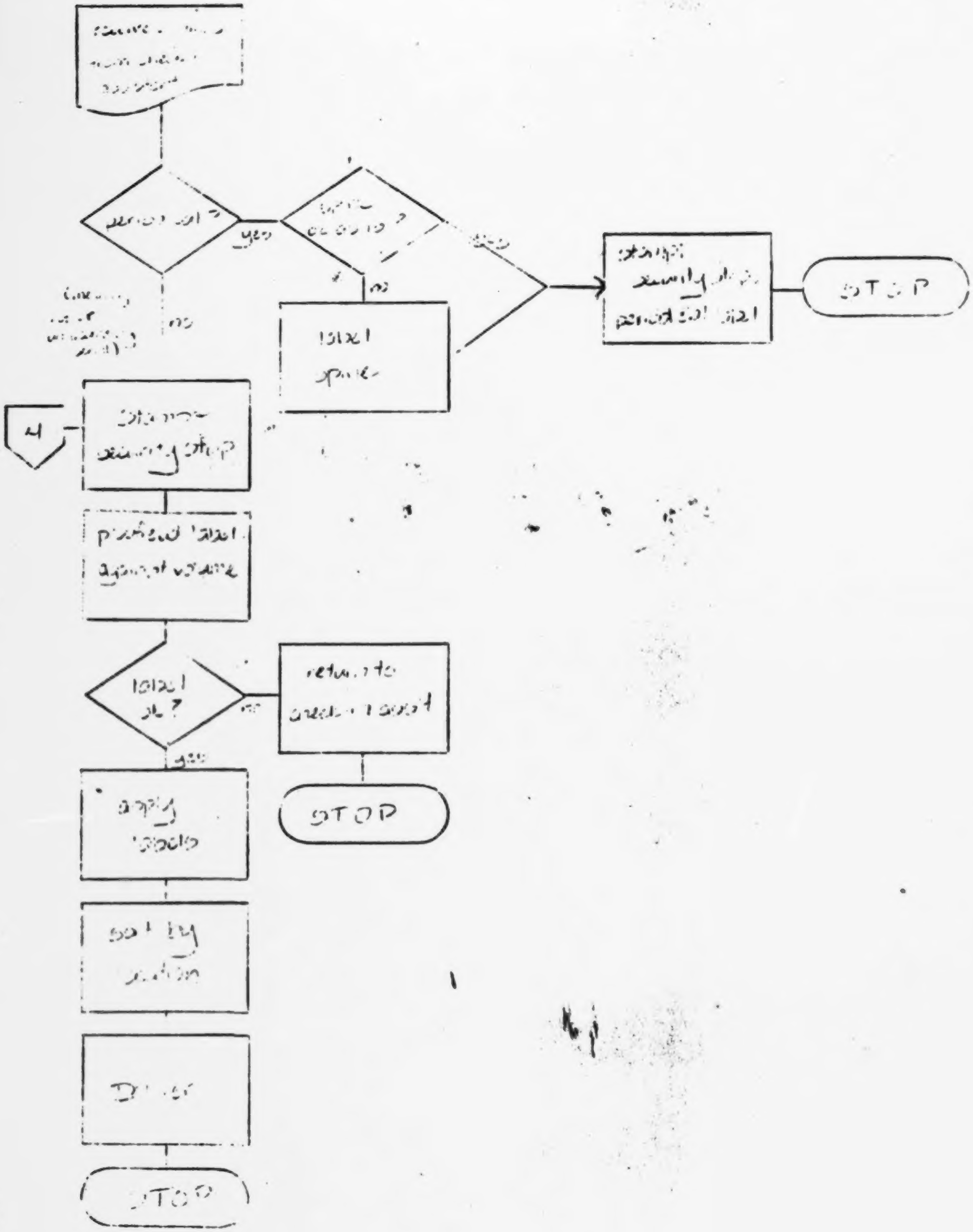

no pattern path
check Kardex cards, SHL, and/or OCLC to verify entry
previously bound (indicating that pattern is missing)?
yes
check stacks for color + spine info.; make new pattern
1
no
Make Pattern
Review by Division Head
1

Error Correction:


error path
Identify Error
fixable in-house?
no
return volume to bindery; update pattern file
STOP
yes
want to fix in-house?
no
yes
Correct error
volume checked in?
no
send volume to check-in Ass't
STOP
yes
return volume to shelf
STOP

Serials Binding

Physical Processing


periodical?
yes
no
label space
stamp security strip
STOP
4
proofread label against volume
label ok?
no
return to creation unit
STOP
yes
apply labels
sort by section
STOP

ACCESSING BIBLIOGRAPHIC AND HOLDINGS INFORMATION

Summary

Two major reasons for accessing bibliographic and holdings information are collection development and reference. Both begin with a perceived information need. For reference, the perceived information need comes in the form of a request or inquiry from a patron. For collection development the perceived information need may come from a request or from an examination of the subject area. To combine these two functions we need to say that the function of accessing bibliographic and holdings information consists of the following elements: perceiving an information need; selecting, ordering, receiving and processing materials; receiving a request or inquiry for information; clarifying and categorizing the format of the request by interacting with and instructing the patron; determining access terms; determining location; providing the item or information, or referring the patron to Interlibrary Loan or another location; circulating the item; and monitoring its return.

General Description

An information need is perceived. This occurs in a number of ways: (1) We may receive a request or inquiry; a formal MPR may come to us; a publisher's blurb or catalog may come to us directly or from another person; or we may see a review. (2) We may receive, in the case of government documents, periodic lists of new publications from which selections are made by the Documents Librarian in consultation with others (reference bibliographers, Head, Reference Division, etc.). Selections are made from the categories of new publications continually offered. The existing group of selected items is constantly reviewed - as the publications come in, as various librarians comment on titles, and systematically twice a year when the GPO computer list of selections is revised. (3) We may receive a sheet listing various authors and/or titles of either journals or books or other materials, any one of which may come with more or less complete information or (4) we may be asked a question verbally either in person or over the telephone.

Our first task is to clarify and categorize the format of the request: book or AV item article, serial, or piece of information. This frequently involves interacting with and/or instructing the faculty member, student or other patron.

At this point we need to sort out whether we will need to check the card catalogs or OCLC system or other bibliographic source and whether by author, title, or subject, or whether a periodical article must be checked for through indexes or abstracts or our Serials Holdings List or those of other libraries, or through other bibliographic sources such as BIP, ULS, etc., or by a computer database search. This step also frequently involves determining the access terms to use which may require subject headings lists as well as indexes or catalogs.

If the request is for a periodical, the Periodicals/Microforms area staff processes information requests for information in or about periodical and serial titles; in person, via telephone, and, infrequently, through the mail; in hard (paper) and micro format (microfilm, microfiche, ultra-fiche, microopaques, etc.).

All requests are first verified in the Serials Holdings List (SHL). If the title is not owned by CSU, the CAMLS Union List (CAMLS) and/or the OCLC record for the title are checked to determine if any other area library owns the needed materials; and/or the patron, if CSU affiliated, is referred to Interlibrary Loan (ILL), if she/he so desires.

If the title is not found in the SHL, CAMLS, or OCLC, Ulrich's and/or Sources of Serials are checked to determine the correct title of the item needed. If the title is still not located, the patron is sent to Reference, where other bibliographic sources are available.

If a title is owned by CSU but the holdings do not encompass the needed materials, the procedure detailed in the two paragraphs above is followed.

If the title is owned by CSU and the holdings statement in the SHL and the serials OCLC record show that we have the needed materials, the format is determined (through the SHL or OCLC local data record), a special location, if any, is determined (through SHL or OCLC local data record; Law Library, reference, regular book stacks, etc.), and the patron is directed to the correct location, according to the age of the materials, either the unbound periodical stacks or (if not checked already) the OCLC local data record is checked to determine if the item is bound. If the item is bound, and not listed as missing, the patron is sent to the bound periodical stacks.

If the item is unbound, and not on the unbound periodicals shelves, the following records and locations are checked (not necessarily in this order - the order is determined by variables too numerous to recount here!): I.D. board, patron loans; I.D. board, staff loans; bindery records (is it at, due back, or going to the bindery?); Kardex (did we ever receive it?, is it listed as missing?); special loan box; bindery area (has it been pulled for processing?); title change shelf; "ceased" shelf; "cancelled" shelf (pink card on unbound periodicals shelves alert us to the foregoing three); titles circulated to academic departments records; and "supplements" shelf.

If the bound or unbound item cannot be located, but is not listed as missing, the patron may fill in a "periodical search request form", or, if they do not, we fill in a missing serial card for the item.

In most cases, patrons use the materials in the Library, by filling in a "periodical request form" and leaving it with a valid I.D. at the Periodicals desk where the item is used. Library staff members sometimes wish to use an issue for a day or two in their work areas. They fill in a "special use form" and leave it at the Periodicals desk while they use the item. Some titles are routed to library staff members. A special form is printed from the OCLC local data record and attached to the issues, which are then circulated to those named on the form. ILL, Copy Service, and some faculty and graduate students of CSU request issues for photocopying within the Library at our Copy Service. A yellow-backed special loan form is filled in for each item removed from the unbound shelves, and the white copy of the form is filed in the special loan box.

Sometimes periodicals are allowed to leave the Library. Some titles are circulated to appropriate academic departments. Special paper records are kept for these titles. Out-of-the-Library loans (short term) are sometimes granted to faculty from CSU, so the materials can be copied in their departments. A pink-backed special loan form is filled in for each item to be removed from the Library (unbound, bound, microform), and the white copy is filed in the special loan box. Overdues are manually pulled and searched and overdue notices are typed and sent out periodically.

If the item is a government document, after selection it is received, unpacked, stamped, checked in (or claimed, if necessary), sorted and filed. The incoming materials are divided into two categories: 1) to be cataloged; 2) not cataloged (pamphlets, RT 110 materials, cancelled materials (which continues for six months), "unwanted materials". Liaison is maintained with Serials, to resolve problems and procedures for the cataloging of the documents.

Other types of materials come to the Reference Division from Access Services. When a volume comes to Reference from Access Services, the call number on the spine is checked for accuracy against the call number inside the volume. The shelf is then checked to see if it is part of a continuing series; if it is, it is placed on the shelf. If it is a new volume it is held until enough new volumes are accumulated to warrant the typing of a New Reference Book List.

Indexes/Abstracts are marked with red tape (yellow for Business Indexes) identifying their location as the Index/Abstract Tables.

Annual reports are stamped, counted, and filed with the outdated Annual report being pulled. Pamphlets are labeled according to their Readers' Guide subject headings, stamped, counted and filed in the Pamphlet File.

The Reference shelflist is utilized for yearly shelf-reading.

Then we need to determine the location of the item, and again, for this step there may well be interaction with and/or instruction of the patron. When we are looking for books or AV materials, among the sources which we may utilize for this step are the card catalogs, the OCLC system, the on-order-in-process list, the circulation print-out, special loan records, shelf lists, and the film list. If we are looking for articles or serials, we may use the periodical indexes or abstracts, the Serials Holdings List, the Kardexes in Serials, OCLC, , current periodicals, the reference rolodex and/or bindery records. For a piece of information, it may involve any or all of the above, checking our library collection and/or doing a computer database search. We frequently check the bibliographic records of other libraries if they are available.

We then provide the item or information to the patron (or ourselves) or refer the patron to ILL or another location either in the Library or outside it.

The function of ILL is two-fold: (1) obtaining books and journal articles for CSU faculty, staff and students; and (2) providing books and journal articles to other libraries upon request.

Requests from CSU patrons are checked for completeness of citation. The citations are verified in abstracts and indexes and locations determined through use of OCLC, NUC, and ULS/NST. Requests are sent via OCLC or US Mail. Requests that cannot be verified are referred to the Library of Congress. Patrons are notified when the materials have arrived. Patrons are also notified when a request cannot be filled.

Requests from other libraries are divided into requests for books and requests for photo copies. For books requests, the call numbers are found in the card catalogs or on OCLC. The stacks are searched and the books retrieved are charged out at Circulation. The requests for books not found on the shelves and not charged out in the print-out are rechecked two or three days later. Negative replies are sent back to the requesting library. Books are sent via UPS or Library Rate mail. For photo copy requests, the appropriate volumes are pulled from the stacks and taken to Copy Service. Requests not filled are checked daily for one week and any negative replies are sent to the requesting library. After the copies are made, the charges, if any, are determined and the copies sent out via UPS or First Class mail. CAMLS requests receive priority handling.

Reference Services Statistics - Report FY 1984-1985

I. REFERENCE		
A. Desk Statistics		
1. Quick Reference	33,288	✓
2. Research	92	✓
3. Telephone		
a. Quick Reference	12,100	✓
b. Research	23	✓
B. Mail	3	✓
C. Special Loans		
1. Books	265	L
2. Pamphlets	115	L
3. Maps	33	L
4. Other	14	L
D. Library Instruction		
1. No. of classes	159	
2. No. of students	3,646	
II. ART SERVICES		
A. Slides Circulated	3,576	
B. Special Loans	238	Ⓛ
C. Desk Statistics		
1. Quick Reference	868	✓
2. Research	99	✓
3. Telephone		
a. Quick Reference	261	✓
b. Research	9	✓
D. Slides Cataloged	7,111	
E. Reserve Circulated	557	
III. AUDIO/MUSIC SERVICES		
A. Reserve Circulated	4,815	
B. Headphones Circulated	3,421	
C. Desk Statistics		
1. Quick Reference	1,791	✓
2. Research	221	✓
3. Telephone		
a. Quick Reference	540	✓
b. Research	34	✓
D. Special Loan	1,192	Ⓛ

IV. COMPUTER SEARCHES (May 1985)	311	
June 1985	355	
V. EDUCATION/CURRICULUM MATERIALS		
A. Circulation	4,788	Ⓛ
B. Desk Statistics		
1. Quick Reference	972	✓
2. Research	73	✓
3. Telephone		
a. Quick Reference	247	✓
b. Research	7	✓
VI. INTERLIBRARY LOAN		
A. Supplied		
1. Requested	13,664	
2. Sent	9,722	
B. Borrowed		
1. Requested	11,134	
2. Received	9,180	
VIII. PERIODICALS		
A. Desk Statistics		
1. Quick Reference	19,569	✓
2. Research	322	✓
3. Telephone		
a. Quick Reference	1,865	✓
b. Research	261	✓
4. Microform Patrons	4,527	
B. Current Periodicals Used	36,170	Ⓛ
C. Bound Periodicals Used		
1. Picked-up	---	
2. Shelved	---	
D. Microforms Used	14,605	
E. Special Loans	2,991	

COLLECTION DEVELOPMENT STATISTICS

REPORT Fiscal Year 1984-85

I. ORDERS

1. TOTAL ITEMS SORTED & DISTRIBUTED: 14,413
2. TOTAL REQUESTS RECEIVED: 12,927
3. TOTAL REQUESTS VERIFIED: 13,055
4. TOTAL REQUESTS VENDORED & SENT TO ORDER UNIT: 6,653

II. PERIODICAL REPLACEMENTS SENT TO SERIALS: 296

III. GIFT BOOKS PROCESSED & SENT TO TECHNICAL SERVICES 2,305

IV. DOCUMENTS RECEIVED:

1. PERIODICALS	1,522
2. SERIALS	2,366
3. MONOGRAPHS	691
4. HEARINGS	3,540
5. PAMPHLETS	679
6. MICROFICHE	26,410
7. MAPS	1,766
8. OTHER	194
TOTAL	37,168

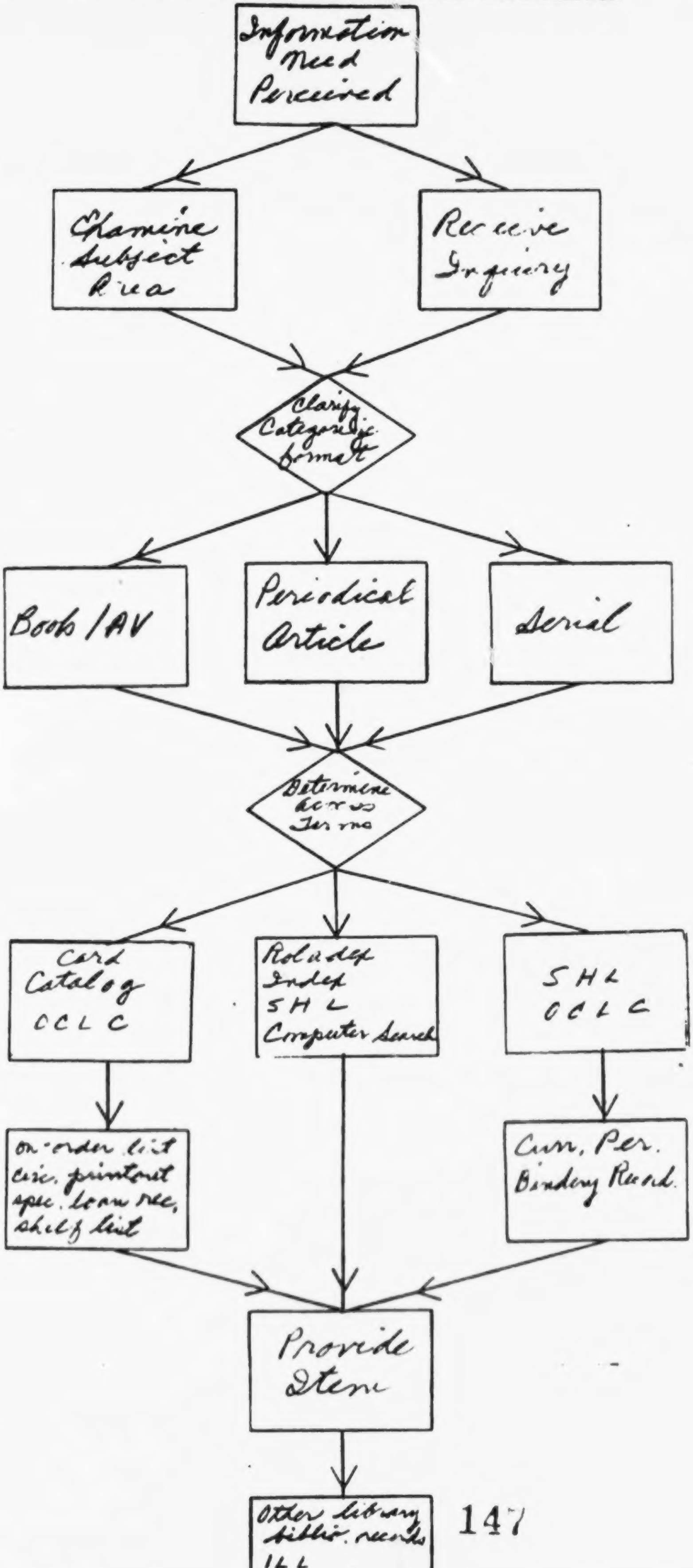
V. MATERIALS ADDED (NOT PROCESSED IN TECHNICAL SERVICES)

1. ART SLIDES	58,009
2. PAMPHLETS	8,801
3. ANNUAL REPORTS	21,068
4. CURRICULUM MATERIALS	7,712
5. UNCATALOGUED AUDIO	2,451
6. MAPS	44,087
7. GPO MICHROFICHE (STATISTICS DISCONTINUED	36,024
8. HEARINGS 5/1/85)	12,242
TOTAL	190,394

List of Forms, Tools, etc. needed to Carry Out the Function

1. Material Purchase Request
2. GPO Computer List of Selections
3. Card Catalog
4. OCLC
5. Periodical Indexes
6. Serials Holdings List
7. Books in Print
8. Union List of Serials
9. CAMLS Union List
10. Ulrich's
11. Sources of Serials
12. KARDEX
13. Periodical Search Request Form
14. Missing Serial Card
15. Special Use Form
16. Special Loan Form
17. Overdue Notice

ACCESSING BIBLIOGRAPHIC AND HOLDINGS INFORMATION


Information Need Perceived
Examine Subject Area
Receive Inquiry
Clarify Categorize format
Book/AV
Periodical Article
Serial
Determine Access Terms
Card Catalog OCLC
Rolodex Index SHL Computer Search
SHL OCLC
on-order list circ. printout spec. loan rec. shelf list
Curr. Per. Bindery Record.
Provide Item
Other library biblio. records ILL Other library

CIRCULATION

Introduction

The Circulation Division consists of four units: Circulation, Stack Management, Reserve, and Overdues. This review will be done by unit. Stack Management is not included in this review because no particular aspect of its operation lends itself to automation. I will list the individual systems of the other three units, and attach a brief descriptive explanation.

Circulation

Circulation systems, which are shared within the whole Division, include Checkout and Renewal, Discharge, Searches, Recalls, Registration, New Books, and Priority Replacement.

Checkout and Renewal are done by pressing the appropriate function key, inserting the ID or keying in the number, inserting the book card or keying in the book number, placing the appropriate date due card in the book, and desensitizing the materials for exit from the Library. The transaction information is processed nightly by the Computer Center and is updated in the daily Circulation Cumulative Printout kept at the Circulation Desk.

Discharge is done by pressing the appropriate function key, inserting the book card or keying in the book number, resensitizing the materials if they are tagged, and then putting the materials on the appropriate cart for tagging or to go to the sorting shelf.

Searches are done for all patrons (including those not affiliated with CSU) when materials are not on the shelf and not listed as checked out. Searching is done at least three times within the ten-day search period, and the patron is informed of the outcome of the search. If materials are not located, the search is held for six weeks and then done again. Materials still not found are declared missing and enter the process of Priority Replacement when the Holds Clerk sends these titles to Collection Development for possible replacement. Priority replacements also originate with unsuccessful ILL searches, which are routed to the Holds Clerk monthly. If these materials are not found, the same procedures are followed as for those titles not found in the circulation search.

Recalls are requests for materials which are checked out. These requests are accepted only from patrons affiliated with CSU. Materials are not recalled until they have been checked out for ten days, unless they are being recalled for Reserve, in which case they are recalled immediately.

Materials being held for a patron, either as the result of a search or of a recall, are placed on the Hold shelf for ten days. Any item which has been requested by more than one patron is charged out for only ten days, then returns to the Hold shelf for the next patron.

Registration of non-University borrowers is done at the Circulation Desk. There are two types of non-University borrowers: those affiliated with NEOMAL schools, and those who are residents of the State of Ohio without CSU or NEOMAL affiliation. NEOMAL borrowers need only present a valid school ID to register, while miscellaneous borrowers must present two pieces of identification, one of which indicates residency in the State of Ohio. An application card is filled out, and the new patron is allowed to borrow one item at the time of registration. The application card is filed in alphabetical order, and a white rolodex card is made out to be filed in Social Security number order. This patron information is also entered into the University data base. The patron's library card is sent in the mail. The Non-CSU Loan form is used when checking out materials to a non-University borrower, to prevent errors in keying in the ID number and, if necessary, to prove that the patron has borrowed the materials.

The New Book collection is maintained by the Circulation Unit. New books are picked up from Tech Services on a weekly basis and brought to the first floor to be placed on the New Book Shelves. A patron who wishes to check out a new book signs the form which has been inserted into the book pocket. At the end of the week, when the materials come off the new book shelves, requested materials are placed on the Hold shelf and the patron is notified.

Overdues

Systems within the Overdues Unit which are subject to automation include Overdues Billing procedures and Missing/Lost procedures.

Overdues Billing procedures come into effect if materials which are charged out are not returned before the due date. When the materials are seven days overdue, the first notice is sent out; at 28 days, the second notice is sent. These notices are sent from the Circulation Unit. At six weeks overdue, materials are invoiced and referred to the CSU Finance Office to be processed according to their procedures. When overdue notices or bills are returned because of a bad address, the patron is entered into the sanction file to prevent more materials from being taken out until the information can be updated. Any patron challenge to a notice or to an invoice results in a series of searches in the Library, and the patron is notified of the outcome of the searches. Materials which are still outstanding nine weeks after being billed are automatically put into the Missing category (so that the Library can update its records and reorder if necessary). After another year materials charged to Missing are deleted and charged to Lost. When materials are returned after being charged to Billing, Missing, or Lost, the patron is credited and the records of the materials are automatically updated. Unpaid overdue fines are billed within the same system used for billing overdue materials.

Missing/Lost procedures come into effect when materials cannot be found or when they cannot be recovered. Materials enter the Missing category automatically after being charged to Billing for 90 days, and they are manually entered into the Missing category if the patron reports the item lost and pays for it, or if an internal search by the Circulation Unit or ILL finds that the items are not on the shelves and not charged out. The charge to Missing is an active charge for the remainder of the current quarter, which means that it appears in the daily Circulation Cumulative printout and in the Overdues printout. As part of the End-of-Quarter processing, all active charges to Missing become inactive and then appear only in the Missing/Lost Cumulative printout. One year after the charge to Missing, the catalog listing is deleted by the Monographs Division, and the list of these deletions is supplied to the Overdues Office to be charged to Lost. After another nine years, the materials are automatically deleted from the Master File. Materials which are returned, or which have an active transaction after being charged to Missing or Lost, are listed in the Supplemental Message section of the Cumulative Circulation printout, and the computer listing is automatically updated. In addition, when materials charged to Missing or to Lost are recovered, notices are automatically produced and are forwarded from the Overdues Office to Monographs or Serials so that records can be updated.

Reserve

Systems within Reserve which may be subject to automation are: Checkout and Discharge of Materials, Processing of Reserve Lists from Faculty, and Preparing Materials for Reserve.

The Checkout process begins when the Reserve student assistant is asked to help the patron to consult the Reserve catalogs in order to find what has been put on Reserve by their professors. A Reserve materials request form is filled out by the patron, and the Reserve student assistant checks the shelf for the materials. The checkout card is then filled out by the patron, and stamped with the appropriate due date, and the patron's ID is held (unless a 3-day book). Discharging materials requires that the materials be re-carded with the proper card and then checked to see if they are overdue. The materials are then shelved to be ready for the next user.

Processing of Reserve lists from faculty begins with the receipt of the list. The card catalog, shelves, and OCLC are checked for the materials. If necessary, the materials are rush-ordered for purchase, or the publisher is contacted for copyright permission for copying. Materials are then prepared for use on the Reserve shelf by typing catalog cards for the Reserve catalogs and inserting checkout cards, date due cards, etc.

MONTH January-December 1985 Statistics

	BOOKS CHARGED BY COMPUTER						MANUAL CHARGES (RESERVE)			
	STUDENT	FACULTY	MISC	MEONAL	ILL	TOTAL	REPRINT	BOOKS	CATALOGS	TOTALS
1	80,492	25,797	5,876	2,949	3,906	123,072	21,403	16,678	3,077	41,158
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
16										
1										
18										
19										
20										
21										
22										
23										
24										
25										
26										
27										
28										
29										
30										
31										
CURRICULUM MATERIAL						5,231				
ANNUAL LOAN CHARGE										
TOTAL	80,492	25,797	5,876	2,949	3,906	123,072	21,403	16,678	3,077	41,158

CIRCULATION/RESERVE STATISTICAL REPORT

Month January-December 1985 Statistics

Date	New bks	Returns	Code 30	Code 33	Searches	Recalls	New bks. Circ.			
1	13,004	89,626	892	752	427	408	2529			
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
16										
17										
18										
19										
20										
21										
22										
23										
24										
25										
26										
27										
28										
29										
30										
31										
Total	13,004	89,626	892	752	427	408	2529			

FORMS

Circulation Unit

- Non-CSU Patron Loan Forms
- CSU Patron Loan Forms
- Receipt for Materials Form
- NEOMAL Card (Blue)
- Misc. Borrower Card (Green)
- Problem ID Card
- CSU Libraries - Non-Univ. Borrower Card Application
- Rolodex Card for Non-Univ. Borrower by SS#
- Recall Form
- Search Form
- "Hold These Books" 24-hour Hold Form
- Monthly Statistics Form
- New Book Notification Form
- New Book Reservation Form
- Library Recall Notice
- New Book Banner
- Rush Marker
- Hold Marker
- Pink New Book Marker
- Label Marker
- Library Search/Recall Status Report
- Library Incident Report Form
- Staff Sign-In and Out Sheets
- Code 22 Charge-Out Sheets (if ID card doesn't work)

Overdues Unit

- Invoice
- Search Form
- Search Response Letters (1-6)
- Library Receipt
- CSU Receipt (For Deposits)
- Memo to Update Account
- Memo to Close Account
- Faculty Overdues Letters
- Disbursement Form
- Cash Box Log Sheets
- Overdue Notices
- Code 30/33 Charge-Out Forms
- ILL Overdues
- CurMats Fine Slips
- CurMats Overdues
- Reserve Overdues/Fines Slip
- Memo to Hold Collections
- Refund Deduction Form (GHT Format SA-108) from Collections

Stack Management Unit

- Statistical Report on Reading Assignments
- Breaks (when taken by students) Signout Sheet
- Location Sheet (students sign in where they are)
- Reports to Physical Plant
- Bookcard Marker
- Taped Marker
- Repair Marker
- Form to Record Statistics on Damaged Books

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RESERVE SERVICE FORMS:

1. Reserve Material Request Form
2. Date Due Slips
3. College Catalog Request Form
4. Reserve Request Form - to be filled in by Professor
5. Received for Reserve - Lists
6. Please Copy for Reserve
7. Being Photocopied
8. Overdue Reserve Item
9. Reserve List Overlay
10. Hourly Count
11. Monthly Count
12. Reserve Room Worksheet
13. Memos to Professors -Keep on/Take off notices
14. Personal Copy Returned to Professor
15. Memos for Reserve Lists
16. Professor Permission Slips
17. Copyright Permission Request
18. Reserve Student Schedules - Block/Class Schedule
19. Reserve Schedule - Student Hours
20. Student Assistant Training Checklist
21. Student Assistant Hours
22. Status of Lists Sheets
23. Material Purchase Request
24. Memos to Professors & Chairman - other quarters
25. Test Bank Count Sheets/notices"while you wait..."
26. "This borrower has taken out..." - Sheets
27. "This Form Photocopied"

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28.ICPSR Request Forms

29.Title(s) "Not in","missing from" - Memo to Professor

30.Title(s) "Out of Print","Cancelled" - Memo to Professor

31.Title(s) "Received" - Memo to Professor

32."Book arrive too Late for the Quarter requested" - Memo to Professor

33.Two Hour Reserve Book Cards - Yellow/Green

34.Twenty-Four Hour Reserve Book Cards - Pink

35.Three Day Reserve Book Cards - Blue

36.Unspecified Reserve Book Cards - White

37.Letter for College Catalog Requests

38.Temporary I.D. Card

39.Interlibrary Loan Request Forms - Book or Thesis/Periodical Article

40.Copying and Printing Requistion

41.Copyright Permission Letter - Book

42.Copyright Permission Letter - Periodical

43.Copyright Permission Letter - Author

44.Copyright Permission Request Status Form

45.Student Assistant Employment Record

46.Student Employment Time Record

47.Student Assistants' Time Records - Reserve Service

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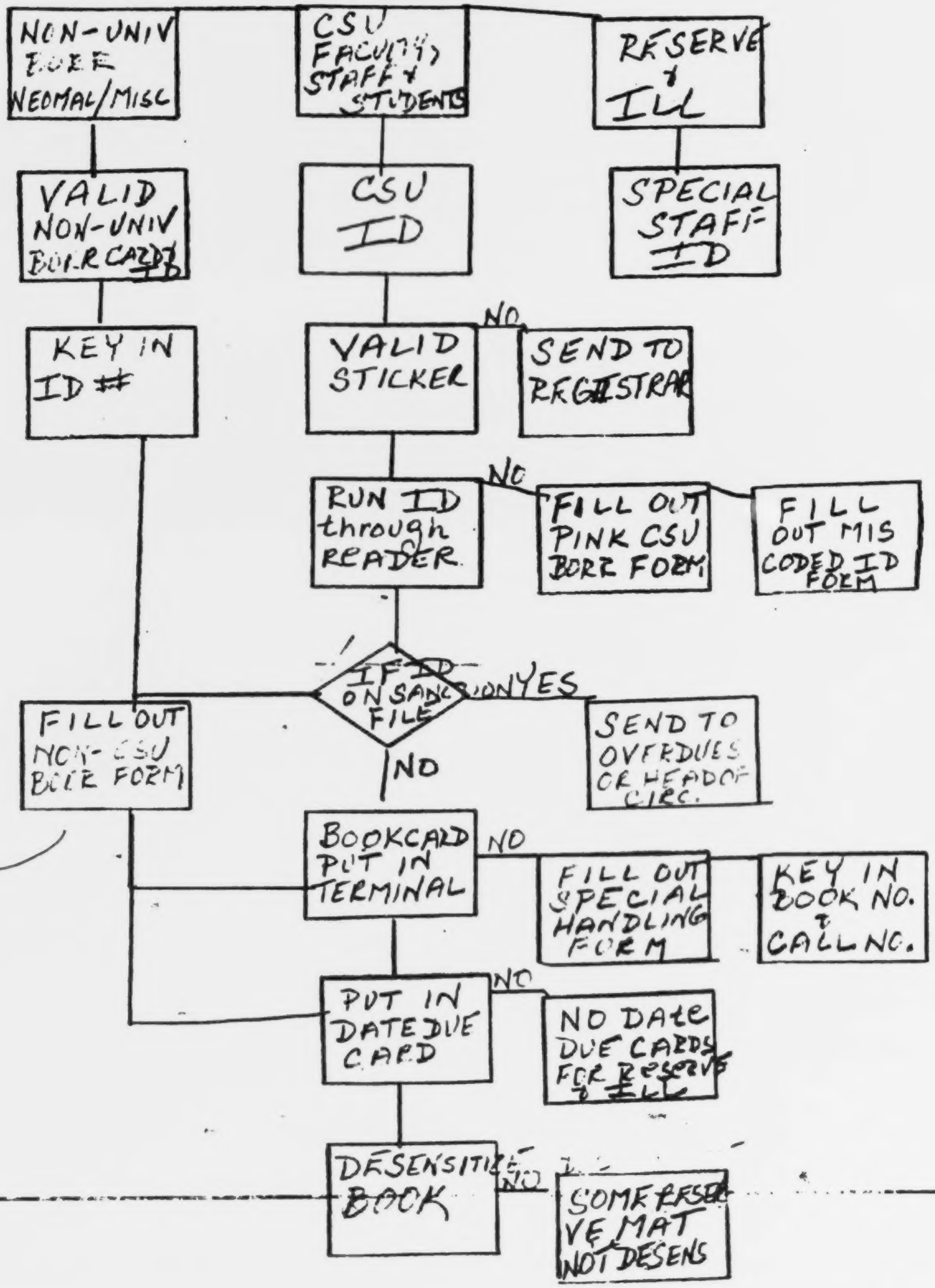
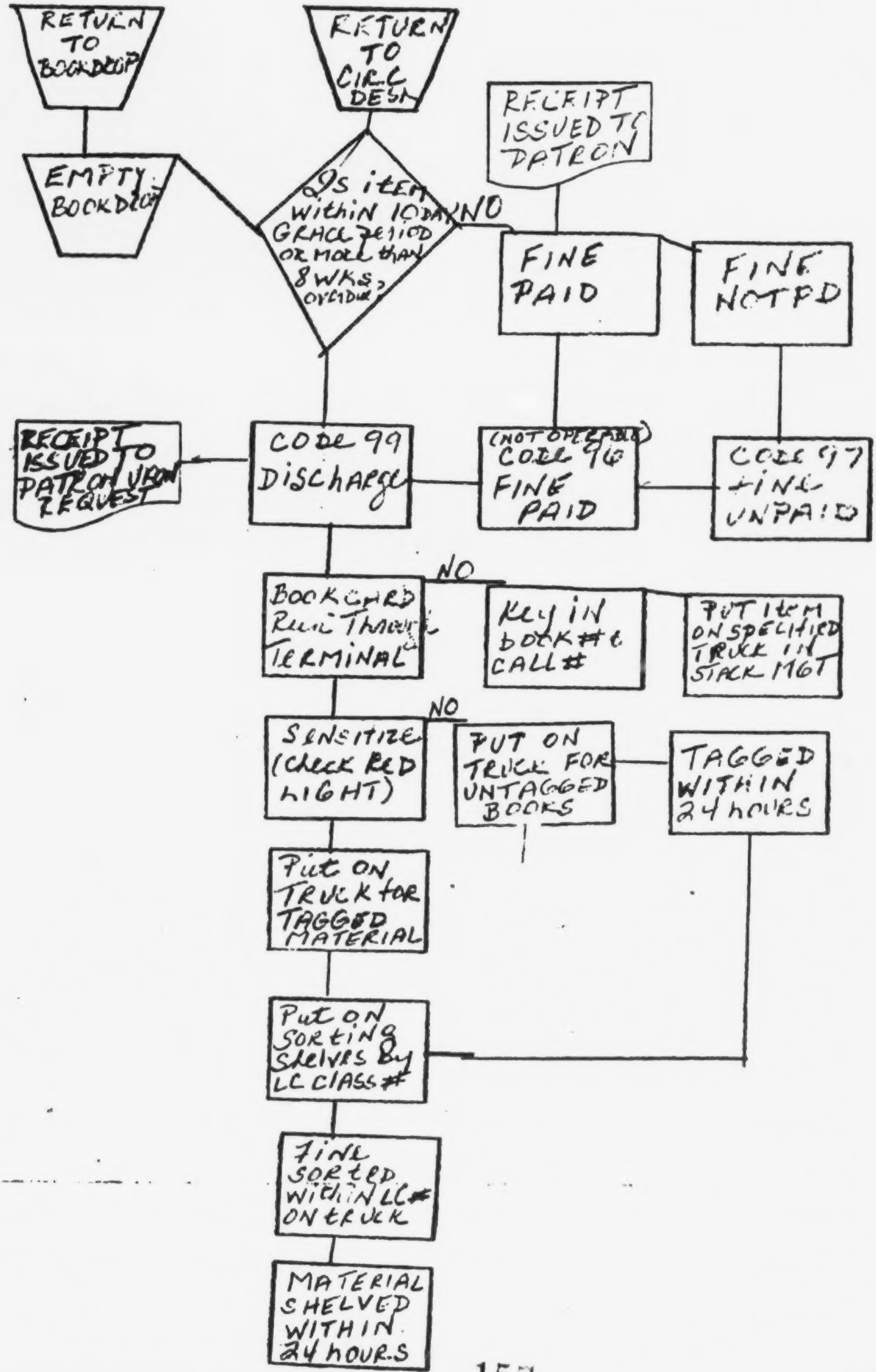
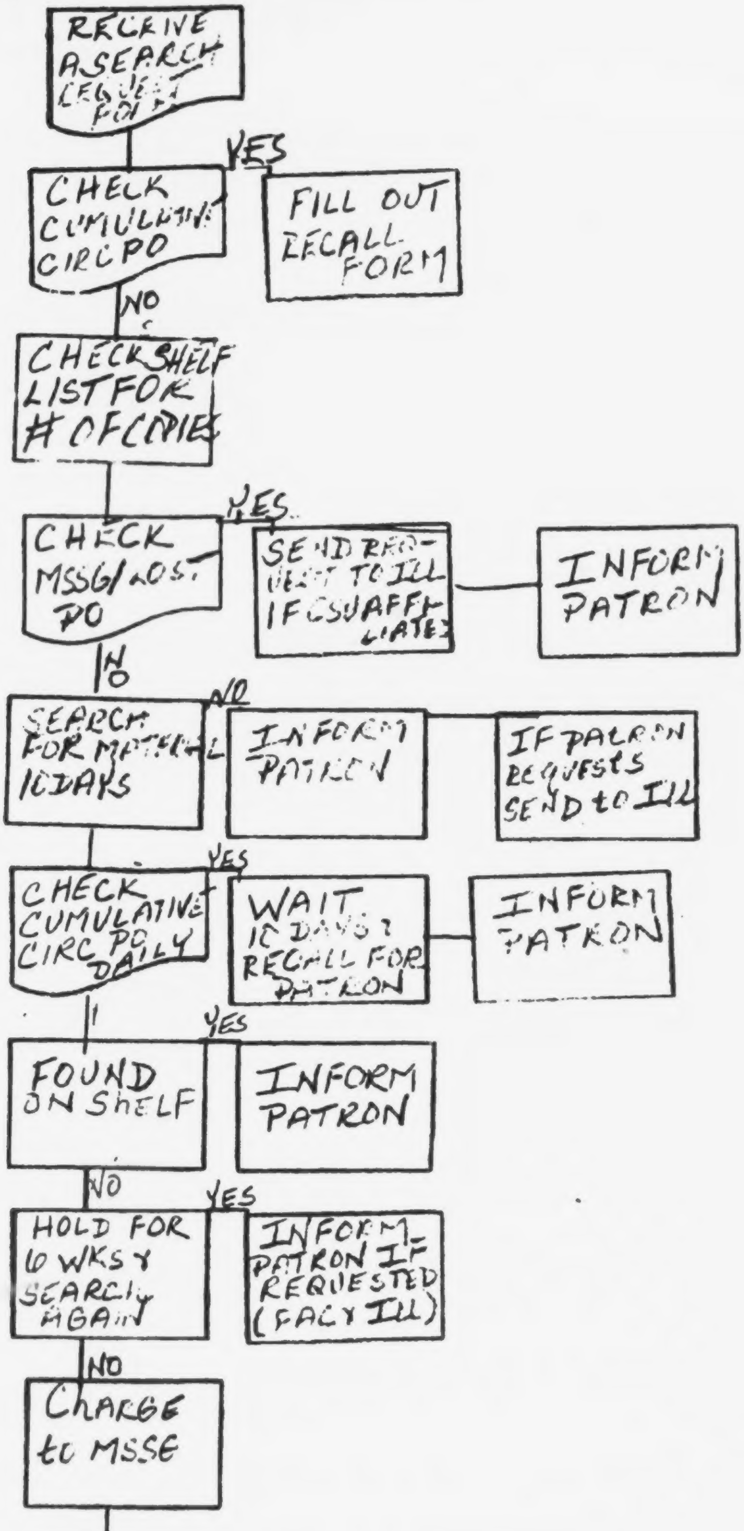
CHECKOUT & RENEWAL


NON-UNIV BORR NEOMAL/MISC
CSU FACULTY, STAFF & STUDENTS
RESERVE & ILL
VALID NON-UNIV BORR CARD/ID
CSU ID
SPECIAL STAFF ID
KEY IN ID #
VALID STICKER
NO
SEND TO REGISTRAR
RUN ID through READER
NO
FILL OUT PINK CSU BORR FORM
FILL OUT MIS CODED ID FORM
IF ID ON SANCTION FILE
YES
SEND TO OVERDUES OR HEAD OF CIRC.
NO
FILL OUT NON-CSU BORR FORM
BOOKCARD PUT IN TERMINAL
NO
FILL OUT SPECIAL HANDLING FORM
KEY IN BOOK NO. & CALL NO.
PUT IN DATE DUE CARD
NO
NO DATE DUE CARDS FOR RESERVE & ILL
DESENSITIZE BOOK
NO
SOME RESERVE MAT NOT DESENS

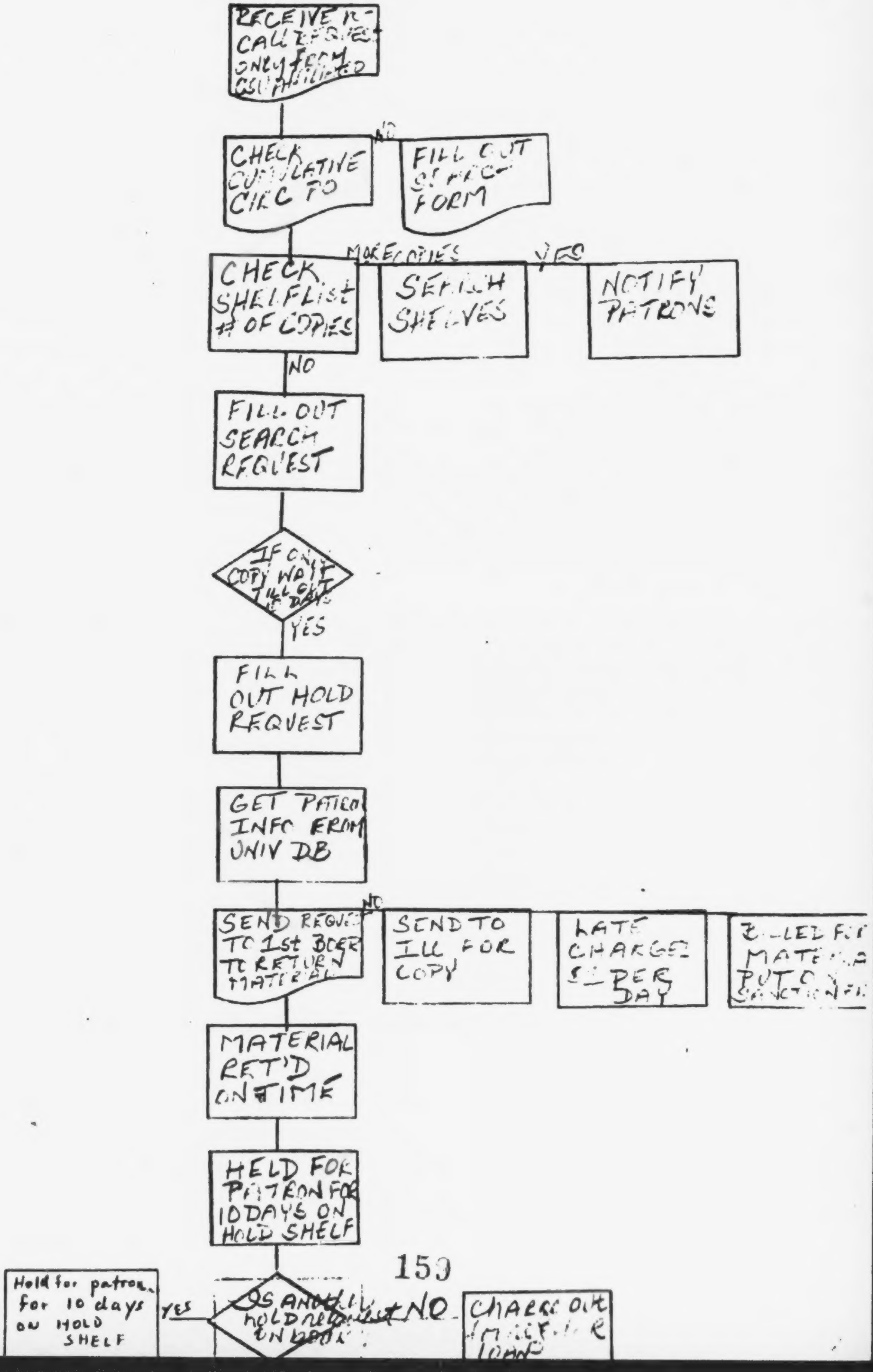
DISCHARGE (RETURNS)


RETURN TO BOOKDROP
RETURN TO CIRC DESK
EMPTY BOOKDROP
Is item within 10 DAY GRACE PERIOD OR MORE THAN 8 WKS. OVERDUE?
NO
RECEIPT ISSUED TO PATRON
FINE PAID
FINE NOT PD
RECEIPT ISSUED TO PATRON UPON REQUEST
CODE 99 DISCHARGE
(NOT OPERABLE) CODE 96 FINE PAID
CODE 97 FINE UNPAID
BOOKCARD READ THROUGH TERMINAL
NO
KEY IN BOOK # & CALL #
PUT ITEM ON SPECIFIED TRUCK IN STACK MGT
SENSITIZE (CHECK RED LIGHT)
NO
PUT ON TRUCK FOR UNTAGGED BOOKS
TAGGED WITHIN 24 HOURS
PUT ON TRUCK FOR TAGGED MATERIAL
PUT ON SORTING SHELVES BY LC CLASS #
FINE SORTED WITHIN LC # ON TRUCK
MATERIAL SHELVED WITHIN 24 HOURS

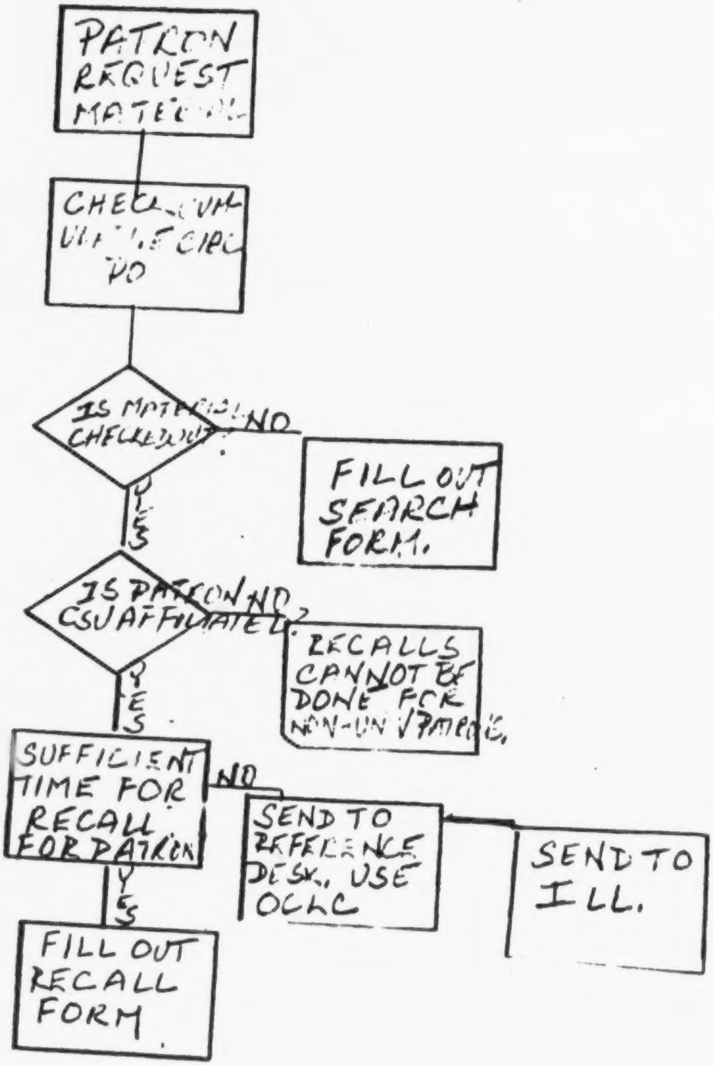
SEARCH


RECEIVE A SEARCH REQUEST FORM
YES
CHECK CUMULATIVE CIRC PO
FILL OUT RECALL FORM
NO
CHECK SHELF LIST FOR # OF COPIES
YES
CHECK MSSG/LOST PO
SEND REQUEST TO ILL IF CSU AFFILIATE?
INFORM PATRON
NO
NO
SEARCH FOR MATERIAL 10 DAYS
INFORM PATRON
IF PATRON REQUESTS SEND to ILL
YES
CHECK CUMULATIVE CIRC PO DAILY
WAIT 10 DAYS & RECALL FOR PATRON
INFORM PATRON
YES
FOUND ON SHELF
INFORM PATRON
NO
YES
HOLD FOR 6 WKS & SEARCH AGAIN
INFORM PATRON IF REQUESTED (FAC & ILL)
NO
CHARGE to MSSE
SEND SEARCH FORMS TO COLL DEV

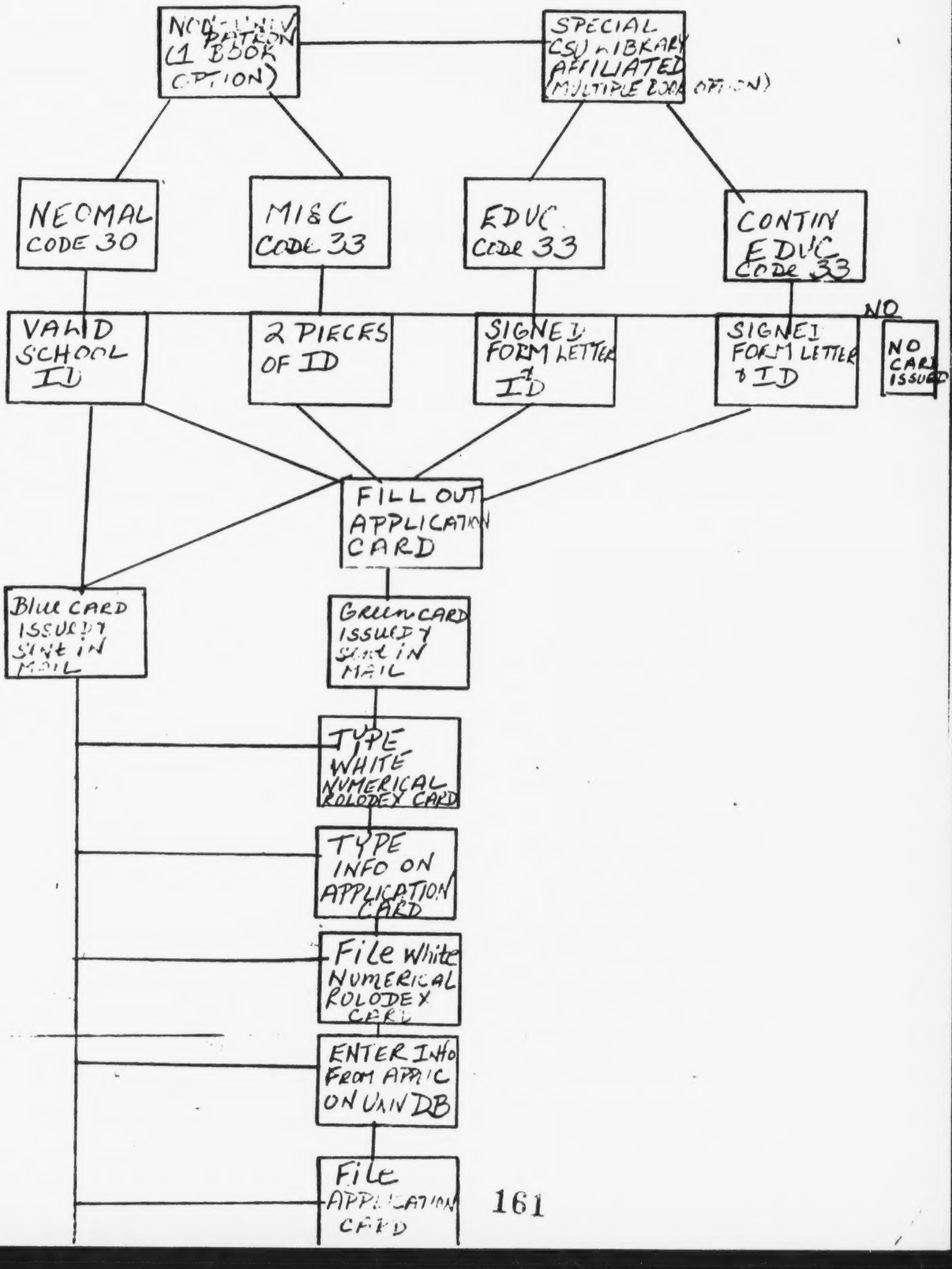
RECALL


RECEIVE RECALL REQUEST ONLY FROM CSU AFFILIATED
CHECK CUMULATIVE CIRC TO
NO
FILL OUT SEARCH FORM
CHECK SHELFLIST # OF COPIES
MORE COPIES
SEARCH SHELVES
YES
NOTIFY PATRONS
NO
FILL OUT SEARCH REQUEST
IF ONLY COPY WAIT TILL OUT 14 DAYS
YES
FILL OUT HOLD REQUEST
GET PATRON INFO FROM UNIV DB
SEND REQUEST TO 1st BORR TO RETURN MATERIAL
NO
SEND TO ILL FOR COPY
LATE CHARGES $1 PER DAY
BILLED FOR MATERIAL PUT ON SANCTION FILE
MATERIAL RET'D ON TIME
HELD FOR PATRON FOR 10 DAYS ON HOLD SHELF
Hold for patron for 10 days on HOLD SHELF
YES
IS ANOTHER hold request ON BOOK
NO
CHARGE OUT MATERIAL FOR LOAN

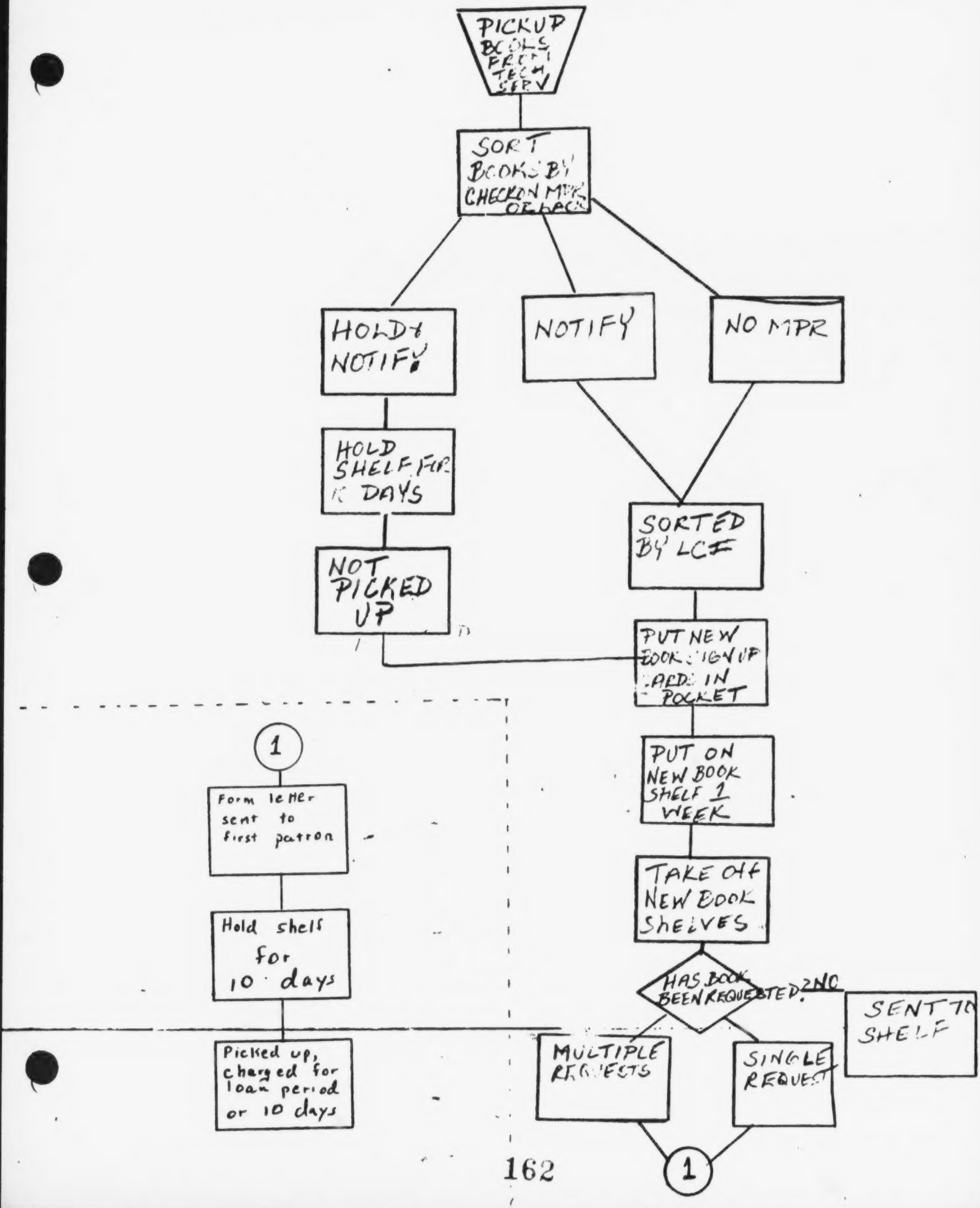
HOLDS
DESK PROCEDURES


PATRON REQUEST MATERIAL
CHECK CUMULATIVE CIRC PO
IS MATERIAL CHECKED OUT?
NO
FILL OUT SEARCH FORM.
YES
IS PATRON CSU AFFILIATED?
NO
RECALLS CANNOT BE DONE FOR NON-UNIV PATRONS.
YES
SUFFICIENT TIME FOR RECALL FOR PATRON
NO
SEND TO REFERENCE DESK. USE OCLC
SEND TO ILL.
YES
FILL OUT RECALL FORM

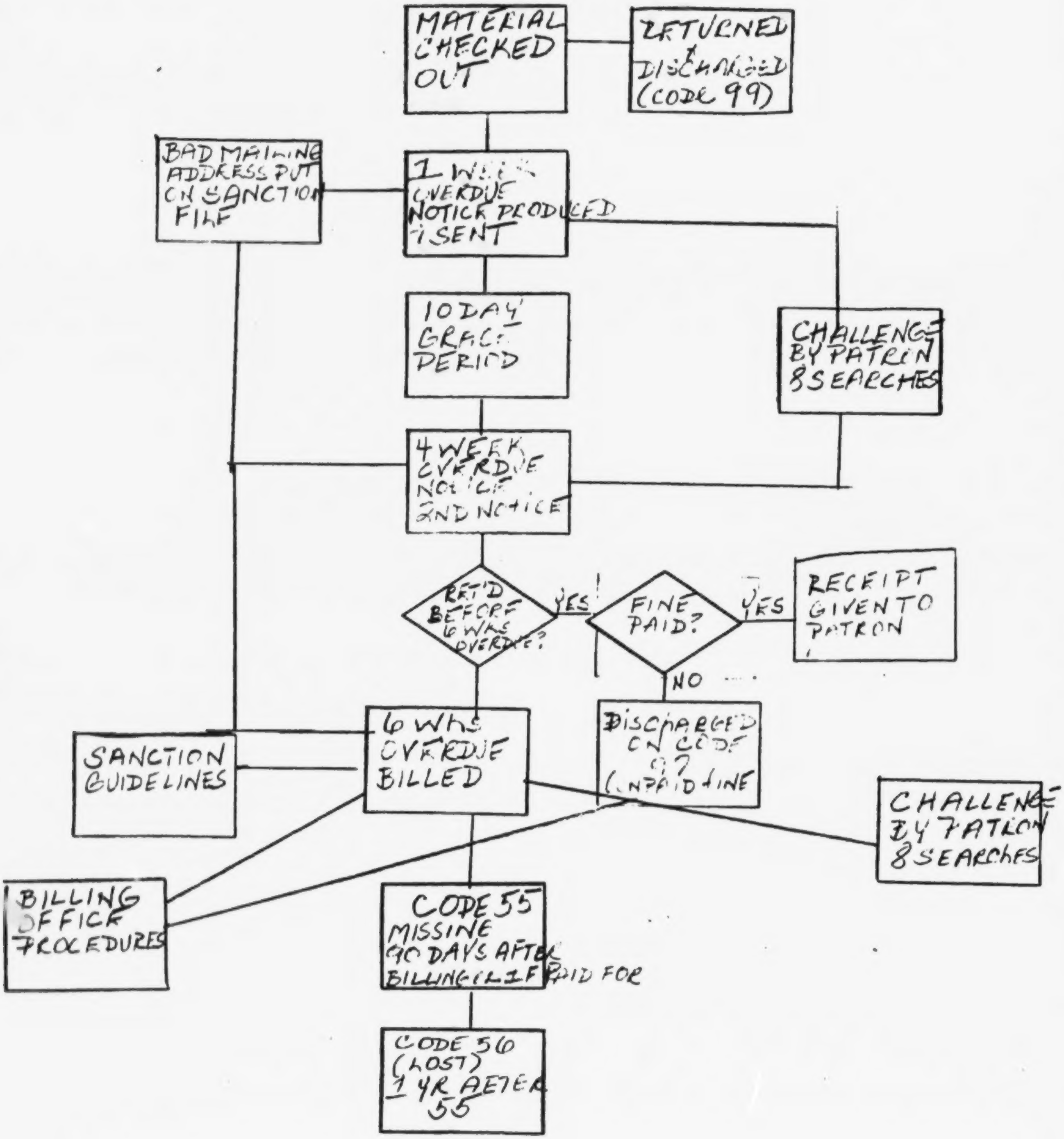
REGISTRATION


NON-UNIV PATRON (1 BOOK OPTION)
SPECIAL CSU LIBRARY AFFILIATED (MULTIPLE BOOK OPTION)
NEOMAL CODE 30
MISC CODE 33
EDUC. CODE 33
CONTIN EDUC CODE 33
VALID SCHOOL ID
2 PIECES OF ID
SIGNED FORM LETTER & ID
SIGNED FORM LETTER & ID
NO
NO CARD ISSUED
FILL OUT APPLICATION CARD
Blue CARD ISSUED & SENT IN MAIL
Green CARD ISSUED & SENT IN MAIL
TYPE WHITE NUMERICAL ROLODEX CARD
TYPE INFO ON APPLICATION CARD
File White NUMERICAL ROLODEX CARD
ENTER Info FROM APPLIC ON UNIV DB
File APPLICATION CARD

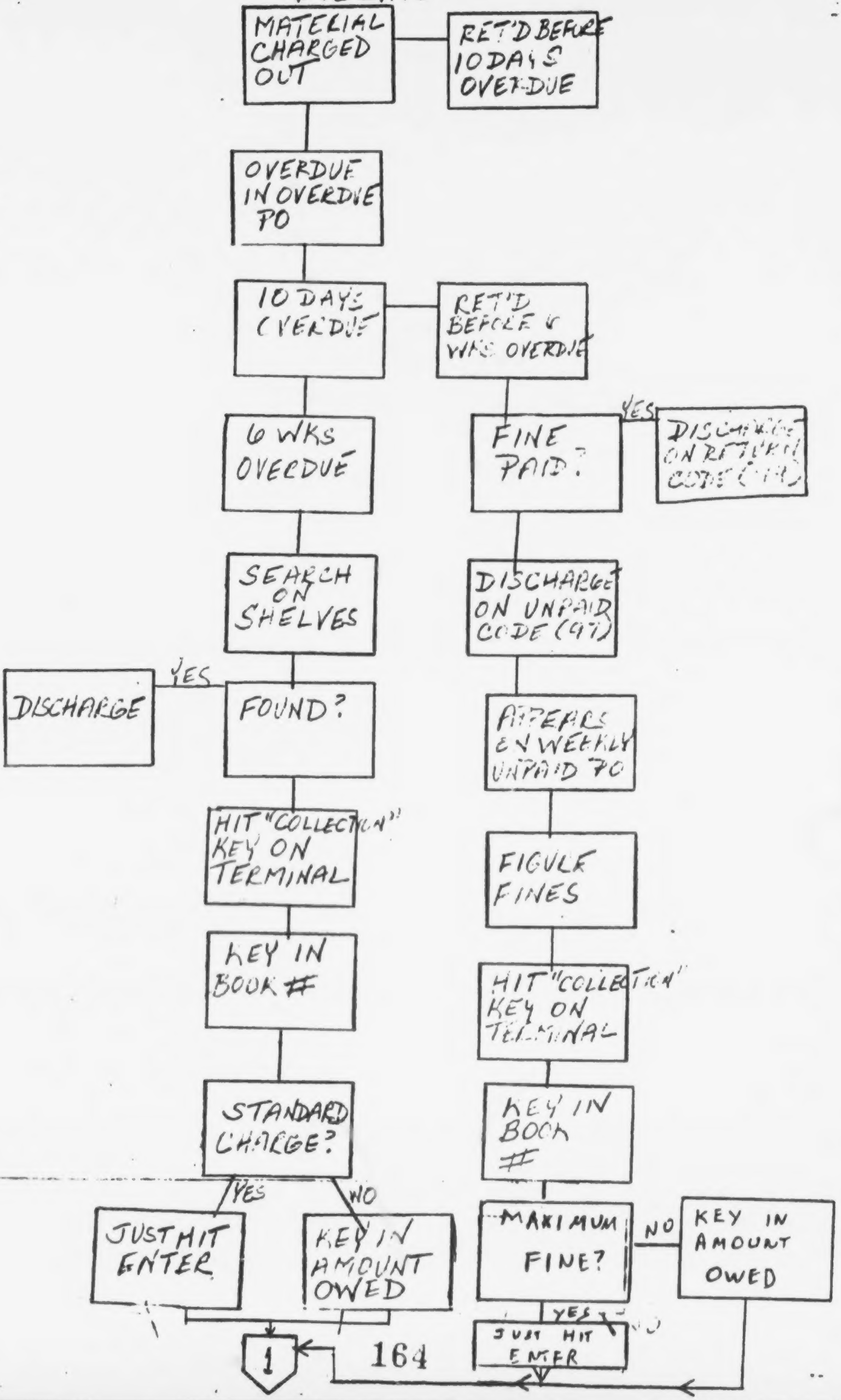
NEW BOOKS


PICKUP BOOKS FROM TECH SERV
SORT BOOKS BY CHECK ON MPR OR LACK
HOLD & NOTIFY
NOTIFY
NO MPR
HOLD SHELF FOR 10 DAYS
NOT PICKED UP
SORTED BY LC#
PUT NEW BOOK SIGN UP CARDS IN POCKET
PUT ON NEW BOOK SHELF 1 WEEK
TAKE OFF NEW BOOK SHELVES
HAS BOOK BEEN REQUESTED?
NO
SENT T
SHELF
MULTIPLE REQUESTS
SINGLE REQUEST
1
1
Form letter sent to first patron
Hold shelf for 10 days
Picked up, charged for loan period or 10 days

OVERDUES (BASICS)

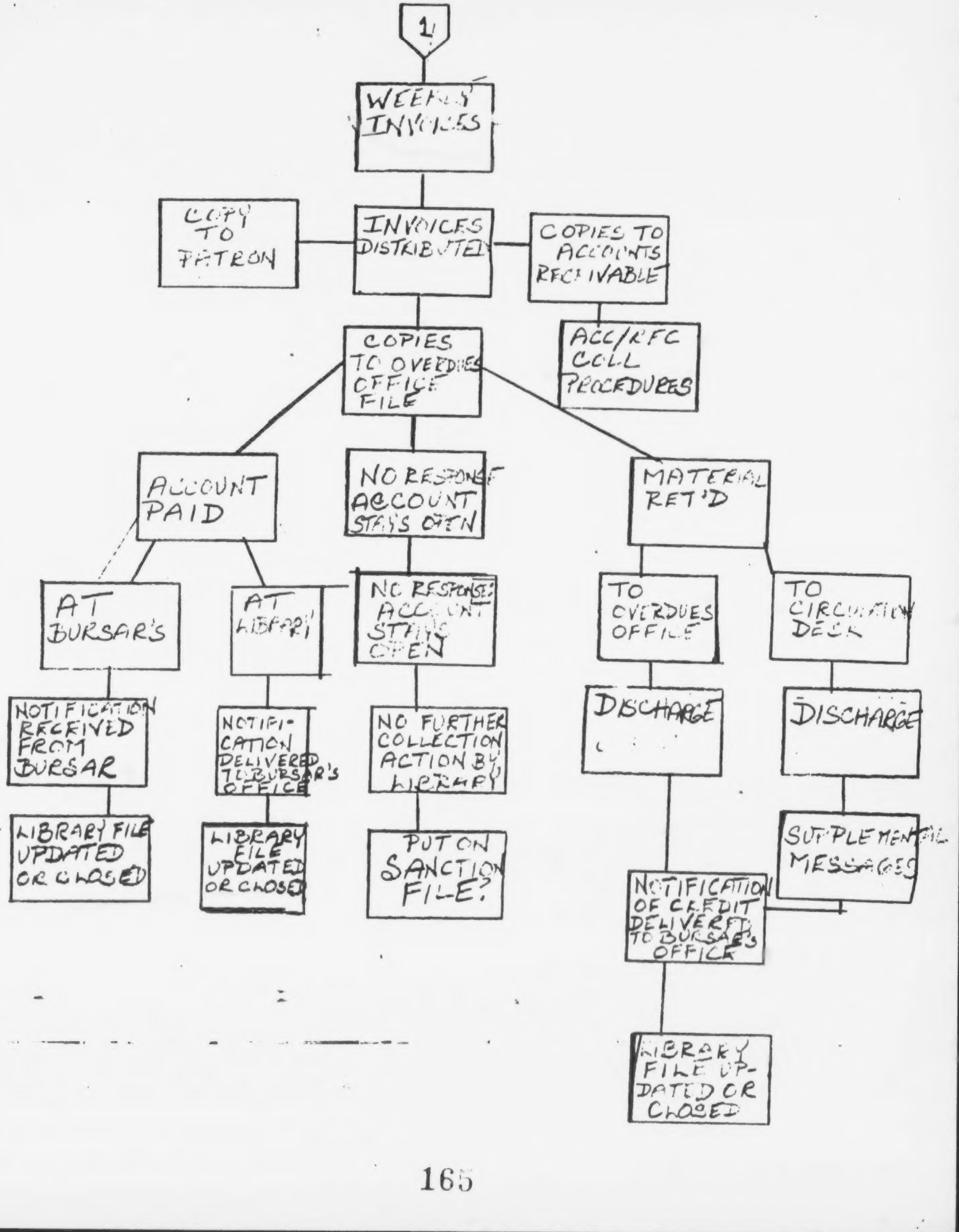

MATERIAL CHECKED OUT
RETURNED & DISCHARGED (CODE 99)
BAD MAILING ADDRESS PUT ON SANCTION FILE
1 WEEK OVERDUE NOTICE PRODUCED & SENT
10 DAY GRACE PERIOD
CHALLENGE BY PATRON 8 SEARCHES
4 WEEK OVERDUE NOTICE 2ND NOTICE
RET'D BEFORE 6 WKS OVERDUE?
YES
FINE PAID?
YES
RECEIPT GIVEN TO PATRON
NO
6 WKS OVERDUE BILLED
SANCTION GUIDELINES
DISCHARGED ON CODE 97 UNPAID FINE
CHALLENGE BY PATRON 8 SEARCHES
BILLING OFFICE PROCEDURES
CODE 55 MISSING 90 DAYS AFTER BILLING IF PAID FOR
CODE 56 (LOST) 1 YR AFTER 55

BILLING

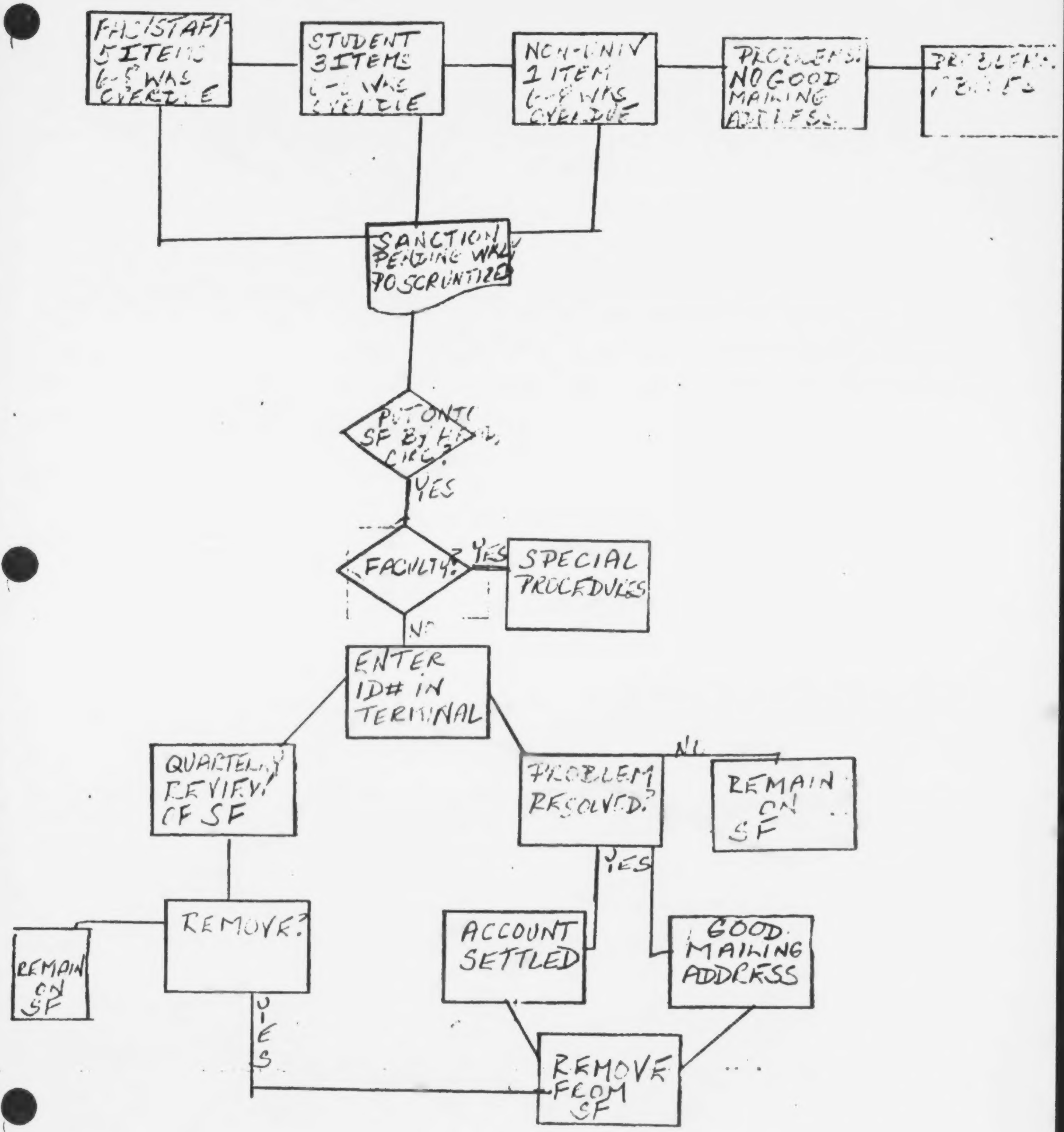

MATERIAL CHARGED OUT
RET'D BEFORE 10 DAYS OVERDUE
OVERDUE IN OVERDUE PO
10 DAYS OVERDUE
RET'D BEFORE 6 WKS OVERDUE
6 WKS OVERDUE
FINE PAID?
YES
DISCHARGE ON RETURN CODE
SEARCH ON SHELVES
DISCHARGE ON UNPAID CODE (97)
YES
DISCHARGE
FOUND?
APPEARS ON WEEKLY UNPAID PO
HIT "COLLECTION" KEY ON TERMINAL
FIGURE FINES
KEY IN BOOK #
HIT "COLLECTION" KEY ON TERMINAL
STANDARD CHARGE?
KEY IN BOOK #
YES
NO
JUST HIT ENTER
KEY IN AMOUNT OWED
MAXIMUM FINE?
NO
KEY IN AMOUNT OWED
YES
JUST HIT ENTER
1

BILLING (CONT.)

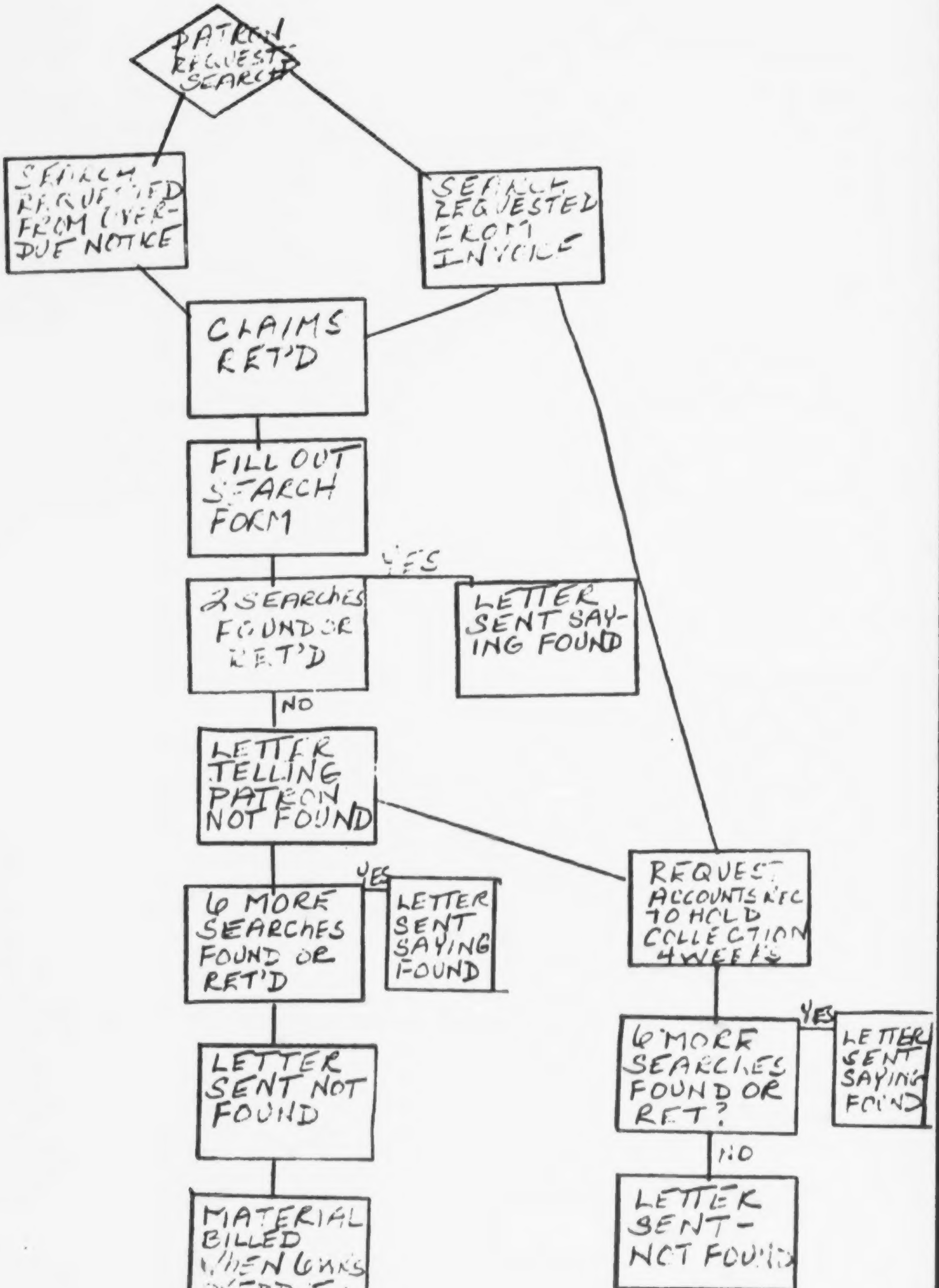
E 1c


1
WEEKS' INVOICES
COPY TO PATRON
INVOICES DISTRIBUTED
COPIES TO ACCOUNTS RECEIVABLE
ACC/REC COLL PROCEDURES
COPIES TO OVERDUES OFFICE FILE
ACCOUNT PAID
NO RESPONSE ACCOUNT STAYS OPEN
MATERIAL RET'D
AT BURSAR'S
AT LIBRARY
NO RESPONSE: ACCOUNT STAYS OPEN
TO OVERDUES OFFICE
TO CIRCULATION DESK
NOTIFICATION RECEIVED FROM BURSAR
NOTIFICATION DELIVERED TO BURSAR'S OFFICE
NO FURTHER COLLECTION ACTION BY LIBRARY
DISCHARGE
DISCHARGE
LIBRARY FILE UPDATED OR CLOSED
LIBRARY FILE UPDATED OR CLOSED
PUT ON SANCTION FILE?
SUPPLEMENTAL MESSAGES
NOTIFICATION OF CREDIT DELIVERED TO BURSAR'S OFFICE
LIBRARY FILE UPDATED OR CLOSED

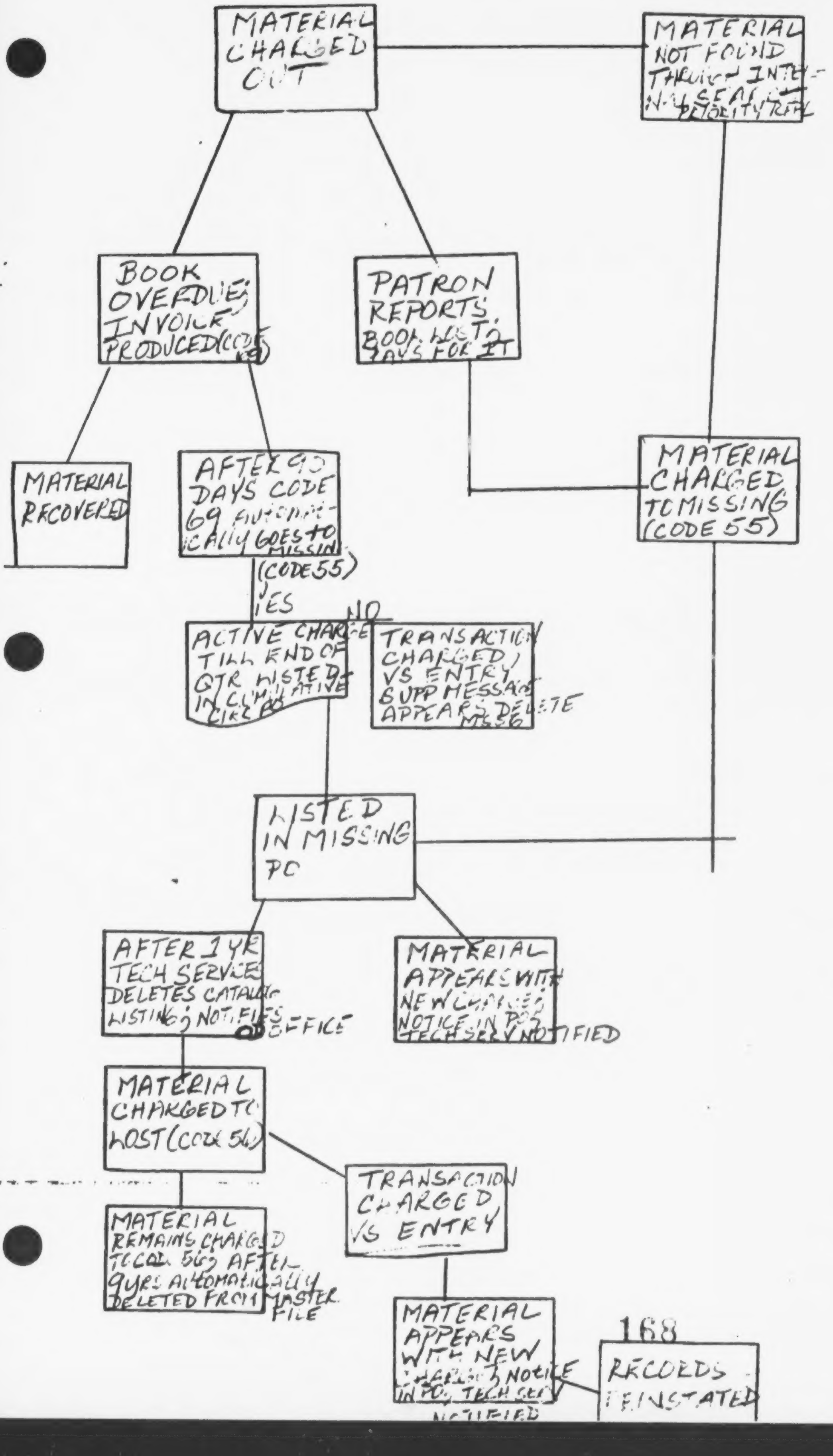
SANCTION FILE


FAC/STAFF 5 ITEMS 6-8 WKS OVERDUE
STUDENT 3 ITEMS 6-8 WKS OVERDUE
NON-UNIV 1 ITEM 6-8 WKS OVERDUE
PROBLEMS: NO GOOD MAILING ADDRESS
PROBLEMS:
SANCTION PENDING WAL TO SCRUTINIZE
PUT ONTO SF BY HEAD CIRC?
YES
FACULTY?
YES
SPECIAL PROCEDURES
NO
ENTER ID# IN TERMINAL
QUARTERLY REVIEW OF SF
PROBLEM RESOLVED?
NO
REMAIN ON SF
YES
REMOVE?
REMAIN ON SF
YES
ACCOUNT SETTLED
GOOD MAILING ADDRESS
REMOVE FROM SF

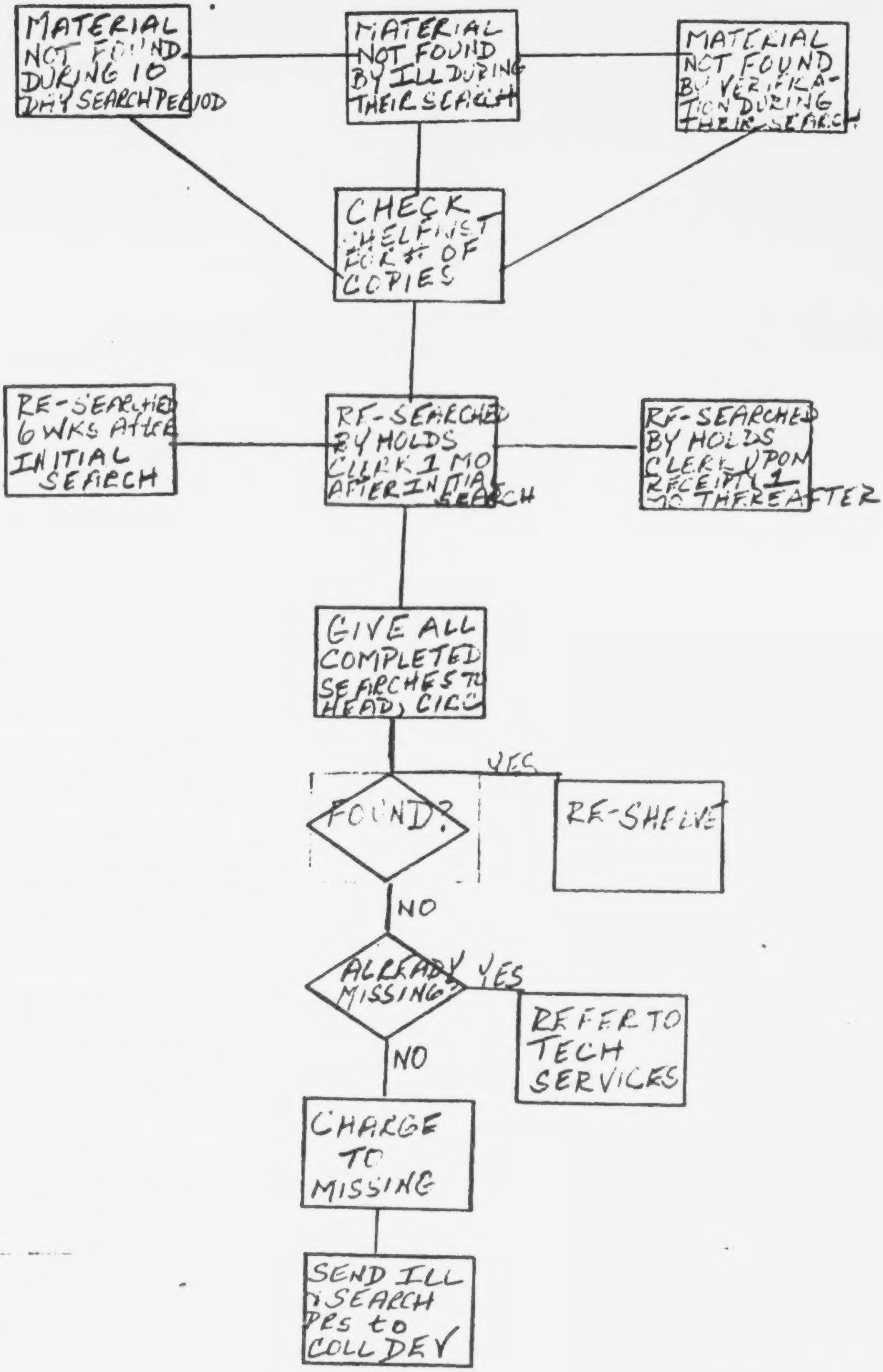
CLAIMS RET'D


PATRON REQUESTS SEARCH
SEARCH REQUESTED FROM OVER-DUE NOTICE
SEARCH REQUESTED FROM INVOICE
CLAIMS RET'D
FILL OUT SEARCH FORM
YES
2 SEARCHES FOUND OR RET'D
LETTER SENT SAYING FOUND
NO
LETTER TELLING PATRON NOT FOUND
YES
6 MORE SEARCHES FOUND OR RET'D
LETTER SENT SAYING FOUND
LETTER SENT NOT FOUND
MATERIAL BILLED WHEN 6 WKS OVERDUE
REQUEST ACCOUNTS REC TO HOLD COLLECTION 4 WEEKS
YES
6 MORE SEARCHES FOUND OR RET?
LETTER SENT SAYING FOUND
NO
LETTER SENT - NOT FOUND
COLLECTION PROCESS REACTIVATED

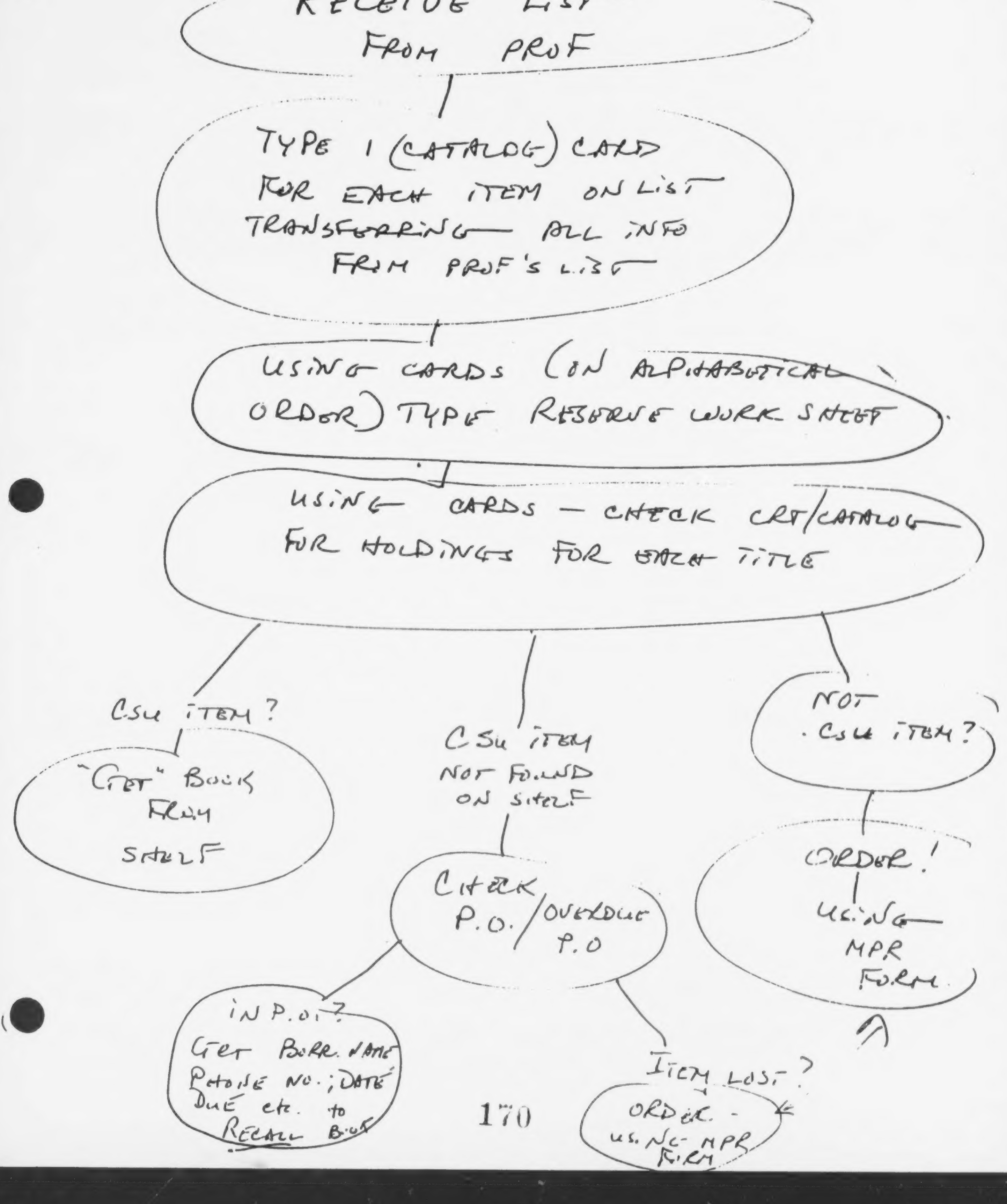
MISSING/LOST


MATERIAL CHARGED OUT
MATERIAL NOT FOUND THROUGH INTERNAL SEARCH PRIORITY TRAIL
BOOK OVERDUE; INVOICE PRODUCED (CODE 69)
PATRON REPORTS BOOK LOST, PAYS FOR IT
MATERIAL RECOVERED
AFTER 90 DAYS CODE 69 AUTOMATICALLY GOES TO MISSING (CODE 55)
MATERIAL CHARGED TO MISSING (CODE 55)
YES
NO
ACTIVE CHARGE TILL END OF QTR LISTED IN CUMULATIVE CIRC PO
TRANSACTION CHARGED / VS ENTRY SUPP MESSAGE APPEARS DELETE MSG
LISTED IN MISSING PC
AFTER 1 YR TECH SERVICES DELETES CATALOG LISTING; NOTIFIES OFFICE
MATERIAL APPEARS WITH NEW CHARGES NOTICE IN PO; TECH SERV NOTIFIED
MATERIAL CHARGED TO LOST (CODE 56)
TRANSACTION CHARGED VS ENTRY
MATERIAL REMAINS CHARGED TO CODE 56; AFTER 9 YRS AUTOMATICALLY DELETED FROM MASTER FILE
MATERIAL APPEARS WITH NEW CHARGES NOTICE IN PO; TECH SERV NOTIFIED
RECORDS REINSTATED

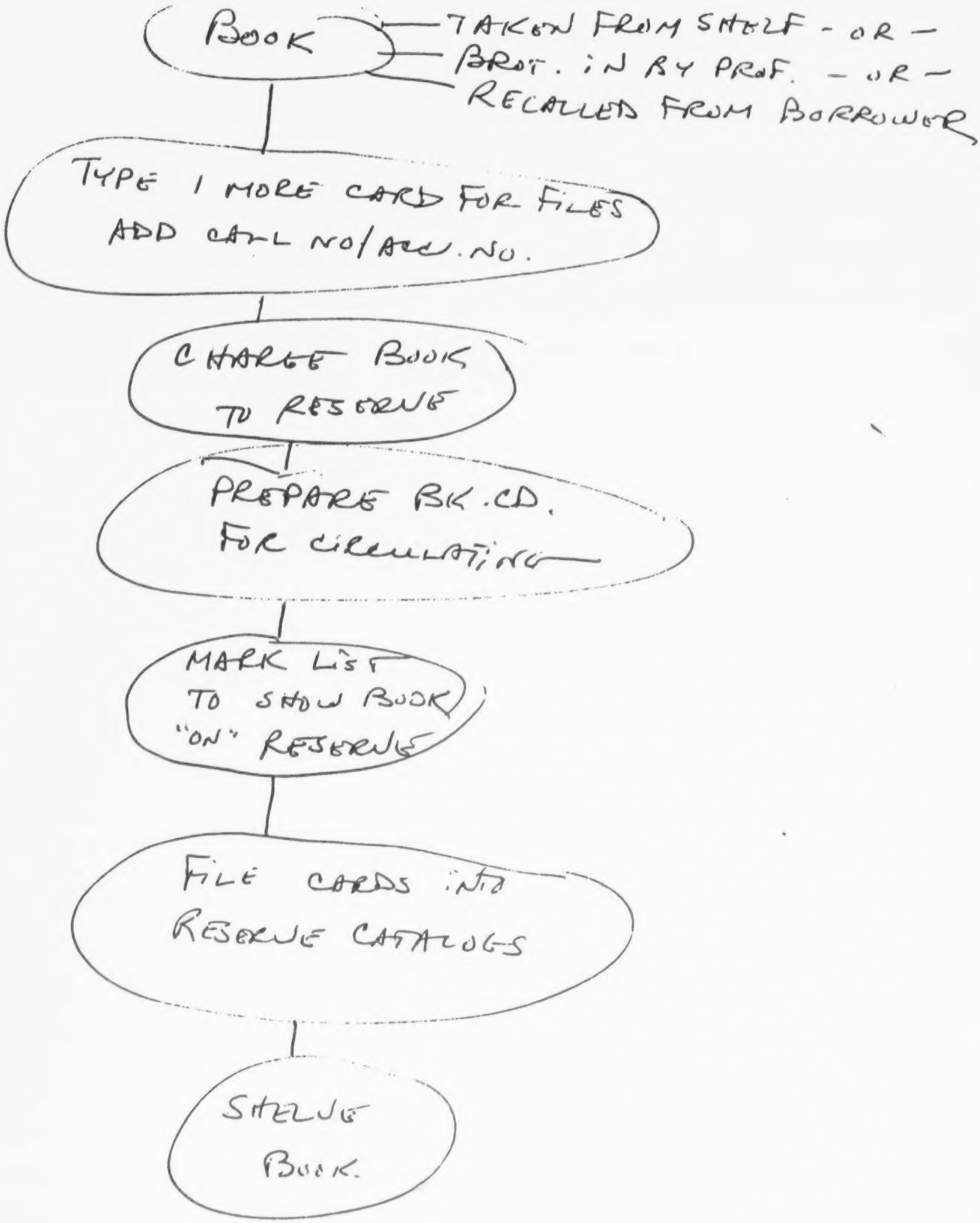
PRIORITY REPLACEMENT


MATERIAL NOT FOUND DURING 10 DAY SEARCH PERIOD
MATERIAL NOT FOUND BY ILL DURING THEIR SEARCH
MATERIAL NOT FOUND BY VERIFICATION DURING THEIR SEARCH
CHECK SHELFLIST FOR # OF COPIES
RE-SEARCHED 6 WKS After INITIAL SEARCH
RE-SEARCHED BY HOLDS CLERK 1 MO AFTER INITIAL SEARCH
RE-SEARCHED BY HOLDS CLERK UPON RECEIPT, 1 MO THEREAFTER
GIVE ALL COMPLETED SEARCHES TO HEAD, CIRC
FOUND?
YES
RE-SHELVE
NO
ALREADY MISSING?
YES
REFER TO TECH SERVICES
NO
CHARGE TO MISSING
SEND ILL & SEARCH RES to COLL DEV

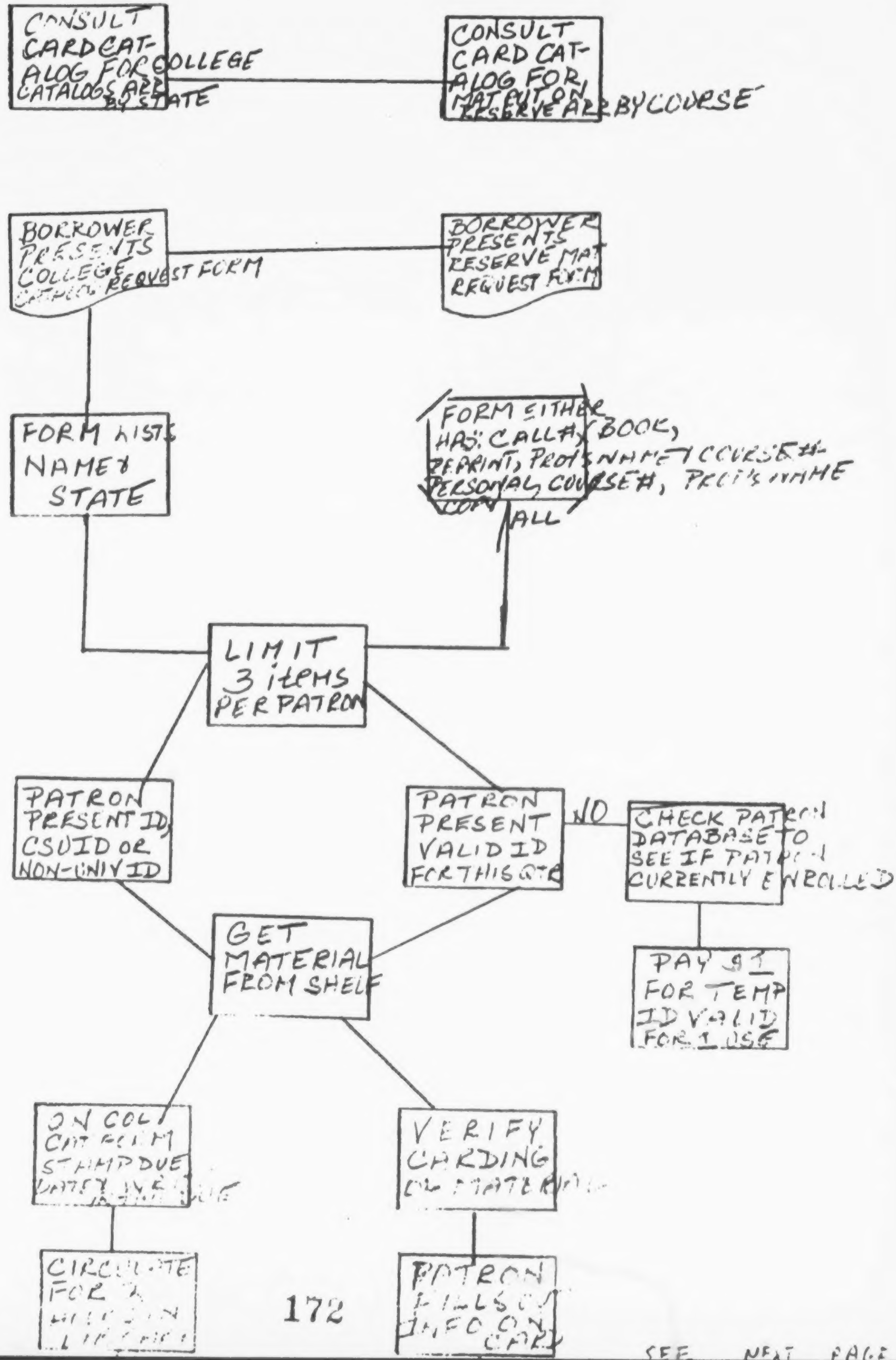
RESERVE LIST — TO PROCESS:


RECEIVE LIST FROM PROF
TYPE 1 (CATALOG) CARD FOR EACH ITEM ON LIST TRANSFERRING ALL INFO FROM PROF'S LIST
USING CARDS (ON ALPHABETICAL ORDER) TYPE RESERVE WORK SHEET
USING CARDS — CHECK CRT/CATALOG FOR HOLDINGS FOR EACH TITLE
CSU ITEM?
"GET" BOOK FROM SHELF
CSU ITEM NOT FOUND ON SHELF
NOT CSU ITEM?
ORDER! USING MPR FORM
CHECK P.O./OVERDUE P.O
IN P.O.?
GET BORR. NAME PHONE NO.; DATE DUE etc. to RECALL BOOK
ITEM LOST?
ORDER - USING MPR FORM

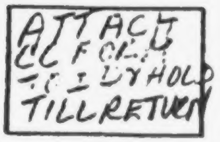
PREPARING A BOOK FOR RESERVE:

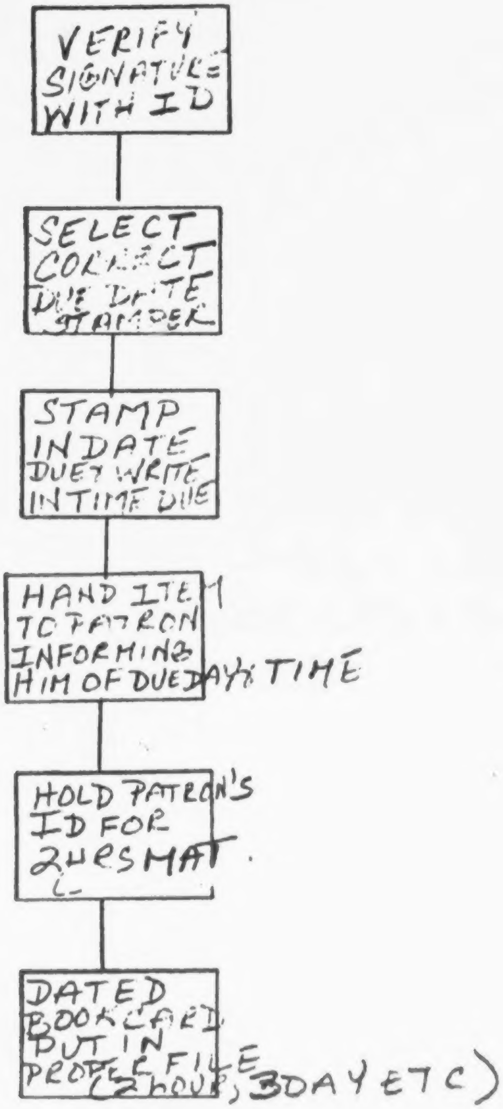

BOOK
TAKEN FROM SHELF - OR -
BROT. IN BY PROF. - OR -
RECALLED FROM BORROWER
TYPE 1 MORE CARD FOR FILES
ADD CALL NO/ACC. NO.
CHARGE BOOK
TO RESERVE
PREPARE BK. CD.
FOR CIRCULATING
MARK LIST
TO SHOW BOOK
"ON" RESERVE
FILE CARDS INTO
RESERVE CATALOGS
SHELVE
BOOK.

CHECK OUT AT RESERVE DESK


CONSULT CARD CATALOG FOR COLLEGE CATALOGS ARR BY STATE
CONSULT CARD CATALOG FOR MAT PUT ON RESERVE ARR BY COURSE
BORROWER PRESENTS COLLEGE CATALOG REQUEST FORM
BORROWER PRESENTS RESERVE MAT REQUEST FORM
FORM LISTS NAME & STATE
FORM EITHER HAS: CALL # BOOK, REPRINT, PROF'S NAME & COURSE #, PERSONAL COPY, COURSE #, PROF'S NAME
ALL
LIMIT 3 items PER PATRON
PATRON PRESENT ID, CSUID OR NON-UNIV ID
PATRON PRESENT VALID ID FOR THIS QTR
NO
CHECK PATRON DATABASE TO SEE IF PATRON CURRENTLY ENROLLED
PAY $1 FOR TEMP ID VALID FOR 1 USE
GET MATERIAL FROM SHELF
ON COL CAT FORM STAMP DUE DATE & [illegible] DUE
VERIFY CARDING OF MATERIAL
CIRCULATE FOR 2 [illegible]
PATRON FILLS OUT INFO ON CARD

SEE NEXT PAGE


ATTACH
CC FORM
TO ID HOLD
TILL RETURN


VERIFY
SIGNATURE
WITH ID
SELECT
CORRECT
DUE DATE
STAMPER
STAMP
IN DATE
DUE, WRITE
IN TIME DUE
HAND ITEM
TO PATRON
INFORMING
HIM OF DUE DAY & TIME
HOLD PATRON'S
ID FOR
2 HRS MAT.
DATED
BOOKCARD
PUT IN
PROPER FILE
(2 HOUR, 3 DAY ETC)

SPECIAL AREAS

Summary

Each of the special areas - Archives, Art, Audio/Music, CurrMat and Film - perform all of the functions of a library because they are mini-libraries in fact. The function begins with a perceived information need. This perceived information need may come from an examination of the subject area or in the form of a request or inquiry from a user. The functions of the special areas consist of perceiving an information need; selecting, ordering, receiving and processing materials; receiving a request or inquiry for information; clarifying and categorizing the format of the request by interacting with and instructing the patron; determining access terms; determining location; providing the item or information, or referring the patron to another location; circulating the item; and monitoring its return.

General Description

Each of the special areas deals with materials in different subjects and different formats, each different from all the others. These different materials are handled in a manner appropriate for them in each area. But since each area handles materials differently, each area will be described, one after the other, in this report.

These areas are: Archives, Art, Audio/Music, CurrMat, and Film.

Archives

The University Archives is CSU's official record repository. Acting in cooperation with university officials and administrators, the Archives accessions, arranges, preserves, appraises, describes and makes available records of legal, fiscal, administrative, or historical value to CSU. Requests for information come mostly from telephone requests, and also from in-person requests, campus mail and U.S. Mail. The Archivist attempts to gather as much information as possible about each specific request and from the information categorizes the request as one of the following: a) office records request, b) CSU-published monographs/serials request, c) master's thesis request, d) photograph request, 3) audio tape/film request, f) general information request.

The Archives maintains the following finding aids: a) office records collection register, b) CSU monographs/serials card catalog, c) thesis catalog, d) photograph catalog, e) audio tape/film catalog, f) Trustees' Meeting Minutes index, g) Faculty Council Meeting Minutes index, h) general files, i) general personnel files. These finding aids are consulted to help determine whether the Archives has the requested information or materials, and its location: a) office records collections, b) CSU monographs/serials collection, c) master theses collection, d) photograph collection, e) audio tape/film collection, f) Trustees' Meeting Minutes, g) Faculty Council Minutes, h) University publications, i) general information/personnel files.

As a general policy, the Archives treats its entire collection as reference materials, with patrons being asked to make use of the materials in the Archives. There are, of course, certain exceptions to the rule (eg., departments with record collections in Archives are allowed to retrieve documents necessary for their work, and if members of the University administration need materials, special loans are arranged). Most requests for information from the Archives are requests for retrieval of record files from collections kept in the Archives. For these requests, the Archivist will indicate on the collection register which materials have been returned to the requesting office along with the date, and will deliver the materials. There are also materials, such as photographs, audio and video tapes, and films, for which arrangements can be made for duplication. These arrangements are usually made with IMS or other departments that have reproducing capabilities.

Records Accessioned by the University Archives

The University Archives accessions University departmental and office records, and monographs and serials (including newspapers) published by the University, as well as audio/video tapes of events on campus, and photographs. University records are accessioned by the Archives directly from departmental and business offices. Shortly after their arrival in the Archives, each collection undergoes a preliminary inventory during which the Archivist becomes familiar with the contents of the collection, and the degree of arrangement. Upon the conclusion of the inventory processing, the Archivist makes a determination, based upon his experience, as to what priority and degree of processing each collection merits. During the actual processing procedure records are transferred to archival-quality folders, labels are made, and the records are stored in archival storage boxes. The final stage of processing is the preparation of the finding aid, which details (to different degrees depending upon the collection) the contents of the collection. Copies of this finding aid (register) are placed in the first box of the collection, sent to the originating department or office, added to the Archives' box of registers, and placed in the general file of the originating office.

Monographs and serials published by the University include catalogs, yearbooks, schedules, announcements, reports and minutes. Monographs, including doctoral theses, are sent to cataloging, and when returned, they are stored on shelves in the Archives and the book cards are put into the Archives collection card catalog. Serials are sent periodically to the Serials Division for binding, and when returned, are stored on shelves in the Archives.

Audio/video tapes and photographs are cataloged by the Archivist. These are stored in the Archives storeroom and the cards are kept in an audio/video tape/film card catalog in the Archives. Photographs are cataloged by individuals and subjects. They, too, are stored in the Archives storeroom and the cards are maintained in the photograph card catalog. Minutes for Faculty Council and the Board of Trustees are indexed when they come to the Archives, with the cards maintained in separate card catalogs.

Art

Art Service maintains art books, slides, reserves for art courses, Marburger Index, Reinhold Visuals, and a picture file. Access terms for books are determined by looking in the card catalogs on the first floor, the author card catalog in the Art Service area, OCLC, or other in-house indices. If additional information is needed, the patron is sent to the Reference Desk for further assistance. Circulating books are checked out and returned at the Circulation Desk on the first floor. Non-circulating books can only be checked out by faculty, staff, and graduate students. Non-circulating books, slides, Reinhold Visuals and materials from the picture file all require a special loan form for circulation. These materials must all be returned directly to the Art Service area.

The slide collection is housed in cabinets located in the slide room. The collection is organized alphabetically by medium, country, artist, and title. A manual check-out system is used. Patrons pull their own slides and replace them with green signature cards. A slide circulation form is filled out along with a special loan form. The Marburger Index and materials placed on reserve do not circulate. These materials must be used in the Art Service area only, and do not leave the room.

Slides are ordered from reproductions in books or purchased commercially. Slide orders from book reproductions are taken to Instructional Media Service (IMS) to be photographed. An IMS copy form accompanies slide orders listing the title of the book, page numbers, and the name of the person requesting slides. Slides purchased commercially need a materials purchase request form (MPR) filled out accordingly, along with an attached list of selected slides and prices. Both types of slide orders need to be approved by the Humanities/ Reference Bibliographer before purchasing. When slide orders are received, they are checked for quality and quantity. If slides are satisfactory, the Art Service Supervisor gives each slide a sequential accession number and catalogs the slide by medium, country, title, and artist, with the use of a cataloging worksheet. Labels are typed from worksheets by student assistants on the computer terminal located in Monographs. Slides are mounted in glass and labels are affixed to the front of the slide mounts. The Supervisor checks slides before filing them in slide cabinets.

Audio/Music

Audio/Music Service contains books, scores, records, tapes, and manuscripts. There is a separate reserve operation for classroom assignments in Audio/Music. Records and tapes are cataloged and have call numbers beginning with the phrase "AUDIO TAPES", "AUDIO DISCS", and "AUDIO CSTTE".

Materials within the collection can be accessed by consulting the main card catalogs since the catalog in Audio/Music is only partially complete. The catalog in Audio/Music is primarily used as a ready, but incomplete, access source. If the materials cannot be accessed by using the card catalogs, the Audio/Music Service Supervisor should assist the patron by checking the following access points: in-house indices, SPIRE, OCLC, and other libraries. After the materials are accessed, the following locations should be checked: circulating shelves, reserves, "New Books and Scores" shelf, special collections in Audio/Music, and uncataloged audio materials. If the materials circulate, the patron should check out the materials at the circulation desk. Materials which do not circulate (Herbert Elwell Archives, Polish Music Collection, Electronic Music Collection, Jazz Collection, cutter discs, jazz 78's, City Club tapes, Cleveland Composers' Guild tapes, Ethnographic Museum tapes, CSU poetry tapes, jazz tapes, aural comprehension tapes, faculty and student recital tapes, duplicated tapes, office tools, monuments, and thematic indices) may be lent only to CSU faculty through special loan. Some items on reserve for classroom assignments may circulate on a 24-hour basis through a manual check-out system in Audio/Music. Patrons must sign signature cards listing name and telephone number, and due dates on pink circulating slips must be stamped by staff. If special loan or reserve materials for classroom assignments are not returned on time, the patron is notified immediately.

The card catalog in Audio/Music Service is an incomplete access tool. Books are not listed in the card catalog. Scores and recordings are listed; however, holdings information is incomplete, since only one card is received per album. Therefore, if several cuts are on an album, Audio/Music Service will not have catalog cards for the other cuts. Entries in the card catalog are filed either by composer or uniform title. There is no subject access. Patrons should check the card catalog on the main floor of the Library for complete holdings information.

SPIRE (Special Project for Indexing Records) is an online index of individual cuts on record anthologies in Audio/Music Service, created by using the software package dBASE III on an IBM PC. Entries can be sorted by fields in alphabetical or numerical order. Often, the card catalog does not list individual cuts on an album, if there are many. SPIRE does not duplicate the efforts of the card catalog, but is an auxiliary source for accessing information on record anthologies in Audio/Music Service.

CurrMats

A request or inquiry for, or about, materials in CurrMats is received. The form of the request may be an MPR from a faculty member. If the request comes in this form, a check of the CurrMats card catalog will verify if CSU owns the materials or not.

The form of the request may be oral (general description of the materials), from a student or faculty member. Materials requested in this manner will take the same route as materials requested by publishers' mailings or by selection of materials from publishers' catalogs.

The next step is to determine access terms. The materials are classified, by using the HEW cataloging schedule, into subject areas - mathematics, science, guidance, art, etc. The materials, regardless of the form of the request, must be categorized in the following ways: general subject area, grade level, format, textbook type of material or classroom activity material, teacher's or student's text or workbook.

The next step is to verify the information (request). The HEW schedule supplies the access term(s) with which to search the CurrMats subject catalog for the materials, to see if we own them.

The next step is to identify and locate the supplier of the requested materials. After it is verified that the requested materials are not in the CurrMats collection, a search is made of the publishers' catalogs, or EL-Hi, which provides the description, price, format, grade, etc., of the materials so they can be ordered for addition to the collection.

The next step is placing the order for the requested materials. After the materials are identified and the supplier found, an MPR is made out and sent to Verification for further verification, and then to the Monographs Acquisitions Unit.

The next step is to create an access system for the requested materials. When the requested materials arrive, they are cataloged into the CurrMats collection through use of the HEW cataloging schedule, and put on the shelf. Subject, author, and title cards are made and entered into the CurrMats catalog as access points, for use by patrons and library personnel.

When a patron asks a question at the Education/Curriculum Materials Center Service Desk, a determination must be made as to whether the patron needs a referral to other Education/Non-Education materials located in other areas of the Library.

If yes, then a general directional referral can be given for the use of Reference Services. Sometimes, a referral can be given to a specific area such as the Juvenile Collection, the Education Collection (L's), the Periodicals Desk, etc.; or even to a person such as the Education Bibliographer for a computer search. If no, then assistance can be provided as desired in the use of the Curriculum Materials Collection.

The Service Desk person must then further question the patron. The subject area, grade level and lesson (unit) plan approach desired by the patron must first be decided upon. Then materials can be referred to and/or recommended to the patron. A brief explanation can be given of the kinds of materials available as well as the subject areas included in the collection. Also clarification of the HEW classification system and related catalogs used in the Center is desireable. A preview of the materials available can be arranged by assisting in the research of a topic and arranging for a browsing time or by setting up and giving instruction in the use of media equipment. Some patrons request referral to photo-duplication areas. Others request a manual charge-out of materials from the Center.

Often a patron will inquire about what other additional materials would be available in other areas of the Library. The Juvenile Collection and Education Collection (L's) are adjacent to the Center. Some assistance is provided in these two areas in order to utilize as many of the materials on and relating to education as possible.

Film Service

The purpose of Film Service is to provide films and AV materials for classroom instructional use. We provide media owned by the CSU Library and films the Library does not own, which are obtained through the Film Rental Service. We assist faculty in obtaining materials for preview with the intent to purchase, and select films for purchase by the Library.

First we receive a request or an inquiry. There are several different kinds of requests: a) requests for CSU-owned materials; b) requests for the CSU or other film catalogs; c) requests for rented materials; d) scheduling requests; and e) requests for information. There are also: f) requests from the Purchasing Department for financial information, such as checking on invoices or requisitions; g) requests from vendors, checking on whether a given film has been mailed back to them, or checking on whether payment has been made to them for film rental, or asking why the payment is late; and h) requests from IMS staff for various kinds of information.

Secondly, we determine the access terms: A) For reference and informational kinds of questions, the access terms may be as follows: subject area (specific); general curricular area (broad); date; producer, director, or cast; distributor; title or subtitle or series title; key word. B) For scheduling kinds of questions, we access our files according to the following: CSU catalog number, title, pickup date or return date. We do not have access by patron's name. C) For rented films, the principal access terms are either title, or more importantly, catalog number. The catalog number is the only way most of the university film rental centers can access their automated circulating/scheduling systems. D) CSU films can only be accessed by their catalog number. The CSU catalog number is simply an accession number assigned during cataloging. There is no subject indicator as part of the call number. Thus, the only subject access is through subject headings in the cataloging.

Thirdly, we verify the information: A) For CSU Library films we may verify information by checking the following sources: the CSU printed Film Catalog; the card catalog in Film Service (this is a title file); the main card catalogs; the Film Service circulation card file (internal file, by title) which is our basic scheduling file; the daily order file (in/out) for films which are in use and not in the Service. Sometimes, it is necessary to go to the item itself as the only way to verify information: contents, components, etc. This is particularly true when there is a series entry. For rented films, we depend on the catalogs of film producers and distributors and the film rental catalogs of the university film centers; the shipping card file, to answer questions such as, "Has it arrived yet?"; and general film indexes. Any general reference book on film may be helpful. B) For financial information, we verify information in our own files.

Fourthly, we identify the location. CSU materials may be in any of the following locations at any one time: the Film Service office; in transit at any one of our drop-off points - the Circulation Desk or at any of the IMS equipment loan centers in RT 807, MC 201A, SH 101; in the Monographs Acquisitions Unit; or, in the cataloging area.

Lastly, we provide the materials or information. Providing the materials means, first of all, scheduling it. The scheduling operation is all done manually and is quite complex. Rented films are ordered by mail or phone. The first step in scheduling is to go to the media charge cards and find the card that corresponds to the "title". The new booking is entered, then the relevant sections of the order form are ⟷ completed. The order form is separated. The "pink" is sent back to the requestor. The "white" and "green" are separ~~e~~ated at the time the order and the film are pulled for use.

Reference Services Statistics - Report FY 1984-1985

I. REFERENCE	
A. Desk Statistics	
1. Quick Reference	33,288
2. Research	92
3. Telephone	
a. Quick Reference	12,100
b. Research	23
B. Mail	3
C. Special Loans	
1. Books	265
2. Pamphlets	115
3. Maps	33
4. Other	14
D. Library Instruction	
1. No. of classes	159
2. No. of students	3,646
II. ART SERVICES	
A. Slides Circulated	3,576
B. Special Loans	238
C. Desk Statistics	
1. Quick Reference	868
2. Research	99
3. Telephone	
a. Quick Reference	261
b. Research	9
D. Slides Cataloged	7,111
E. Reserve Circulated	557
III. AUDIO/MUSIC SERVICES	
A. Reserve Circulated	4,815
B. Headphones Circulated	3,421
C. Desk Statistics	
1. Quick Reference	1,791
2. Research	221
3. Telephone	
a. Quick Reference	540
b. Research	34
D. Special Loan	1,192

IV. COMPUTER SEARCHES (May 1985)	311
June 1985	355
V. EDUCATION/CURRICULUM MATERIALS	
A. Circulation	4,788
B. Desk Statistics	
1. Quick Reference	972
2. Research	73
3. Telephone	
a. Quick Reference	247
b. Research	7
VI. INTERLIBRARY LOAN	
A. Supplied	
1. Requested	13,664
2. Sent	9,722
B. Borrowed	
1. Requested	11,134
2. Received	9,180
VIII. PERIODICALS	
A. Desk Statistics	
1. Quick Reference	19,569
2. Research	322
3. Telephone	
a. Quick Reference	1,865
b. Research	261
4. Microform Patrons	4,527
B. Current Periodicals Used	36,170
C. Bound Periodicals Used	
1. Picked-up	---
2. Shelved	---
D. Microforms Used	14,605
E. Special Loans	2,991

COLLECTION DEVELOPMENT STATISTICS

REPORT Fiscal Year 1984-85

I. ORDERS

1. TOTAL ITEMS SORTED & DISTRIBUTED:	14,413
2. TOTAL REQUESTS RECEIVED:	12,927
3. TOTAL REQUESTS VERIFIED:	13,055
4. TOTAL REQUESTS VENDORED & SENT TO ORDER UNIT:	6,653

II. PERIODICAL REPLACEMENTS SENT TO SERIALS:	296
III. GIFT BOOKS PROCESSED & SENT TO TECHNICAL SERVICES	2,305

IV. DOCUMENTS RECEIVED:

1. PERIODICALS	1,522
2. SERIALS	2,366
3. MONOGRAPHS	691
4. HEARINGS	3,540
5. PAMPHLETS	679
6. MICROFICHE	26,410
7. MAPS	1,766
8. OTHER	194
TOTAL	37,168

V. MATERIALS ADDED (NOT PROCESSED IN TECHNICAL SERVICES)

1. ART SLIDES	58,009
2. PAMPHLETS	8,801
3. ANNUAL REPORTS	21,068
4. CURRICULUM MATERIALS	7,712
5. UNCATALOGUED AUDIO	2,451
6. MAPS	44,087
7. GPO MICHROFICHE (STATISTICS DISCONTINUED 5/1/85)	36,024
8. HEARINGS	12,242
TOTAL	190,394

LIST OF FORMS, TOOLS, ETC.
NEEDED TO CARRY OUT FUNCTION

Archives collection registers, card catalog, minutes' indexes, files.

Card catalog

Art Service author card catalog

OCLC

SPIRE

MPR

Curr Mat card catalog

Publisher's catalog

HEW cataloging schedule

EL-Hi

CSU Film Catalog

Other film catalogs

Invoices

Requisitions

Film/AV order form

Film indexes

Film periodicals

Film Service card catalog

Film Service circulation card file

Film Service daily order file

Film Service shipping card file

General reference book on film

Film Service outstanding orders and requisitions file

Film Service closed orders file

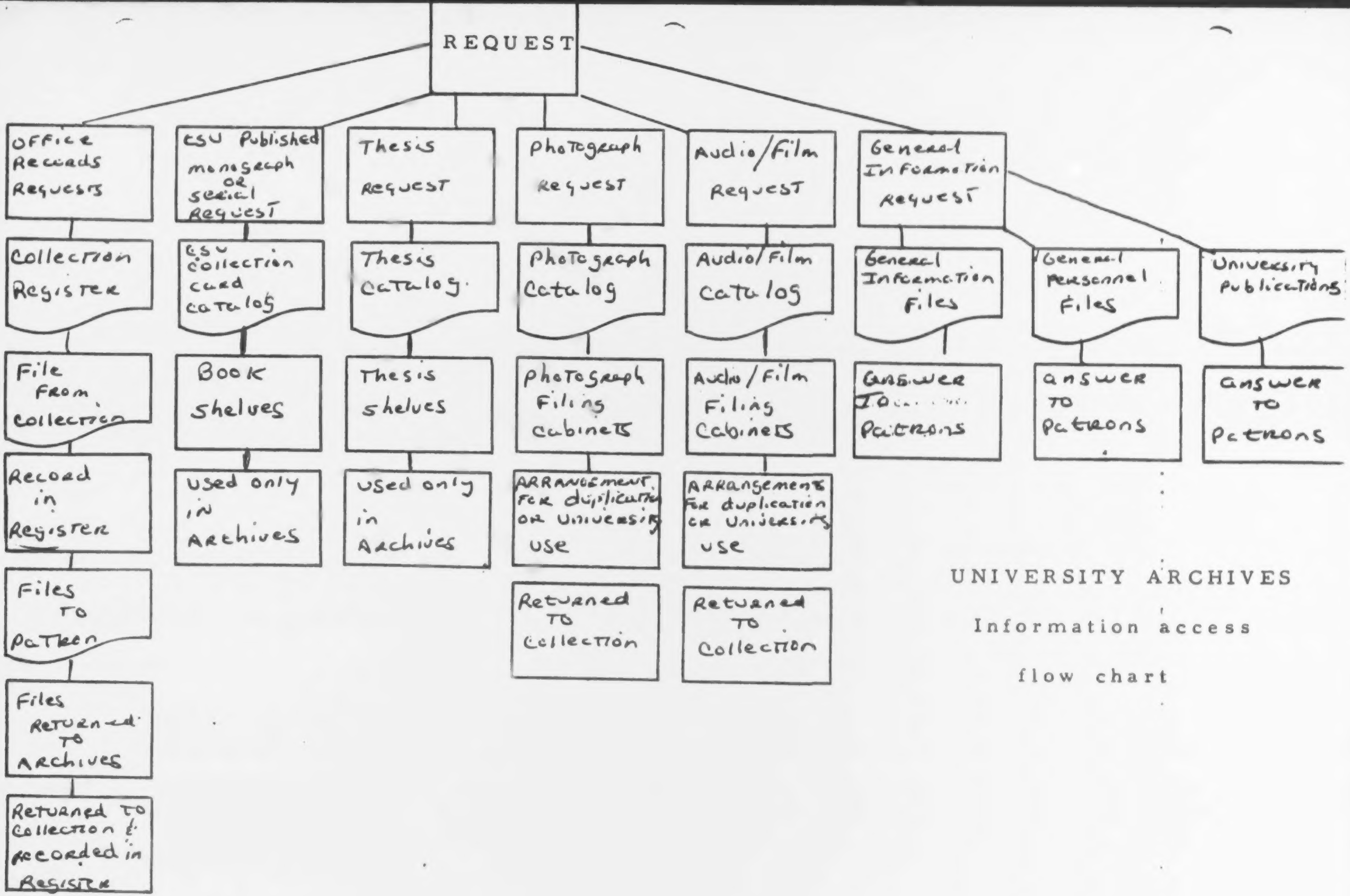
Film Service payment ledger

Film Service vendor file

Controller's budget statement

Media charge cards

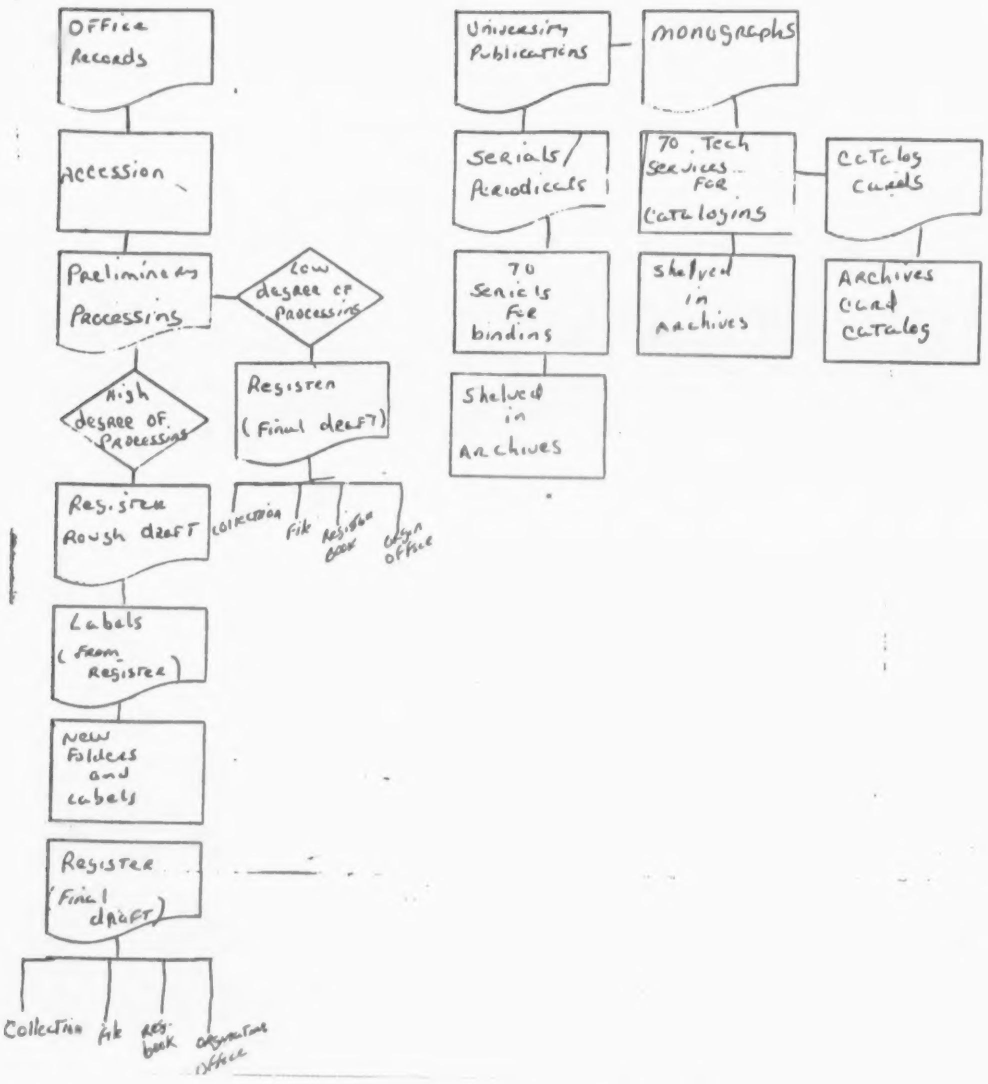
Film Service attendance cards

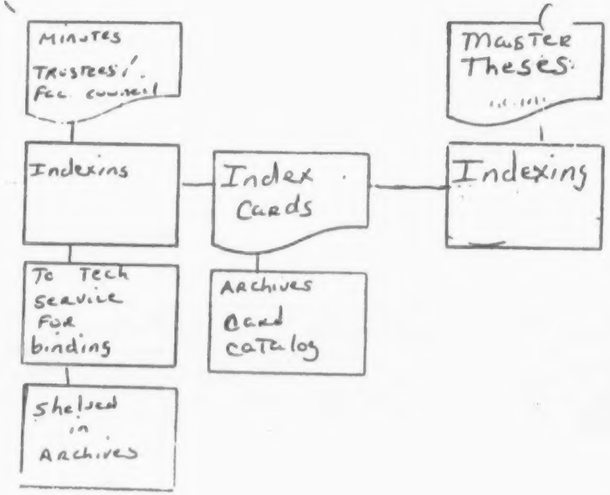

REQUEST
Office Records Requests
Collection Register
File From Collection
Record in Register
Files To Patron
Files Returned To Archives
Returned to Collection & recorded in Register
ESU Published monograph or serial Request
ESU collection card catalog
Book shelves
used only in Archives
Thesis Request
Thesis Catalog.
Thesis shelves
used only in Archives
Photograph Request
Photograph Catalog
Photograph Filing cabinets
Arrangement for duplication or University use
Returned To Collection
Audio/Film Request
Audio/Film Catalog
Audio/Film Filing Cabinets
Arrangements for duplication or University use
Returned To Collection
General Information Request
General Information Files
answer to Patrons
General Personnel Files
answer To Patrons
University publications
answer To Patrons

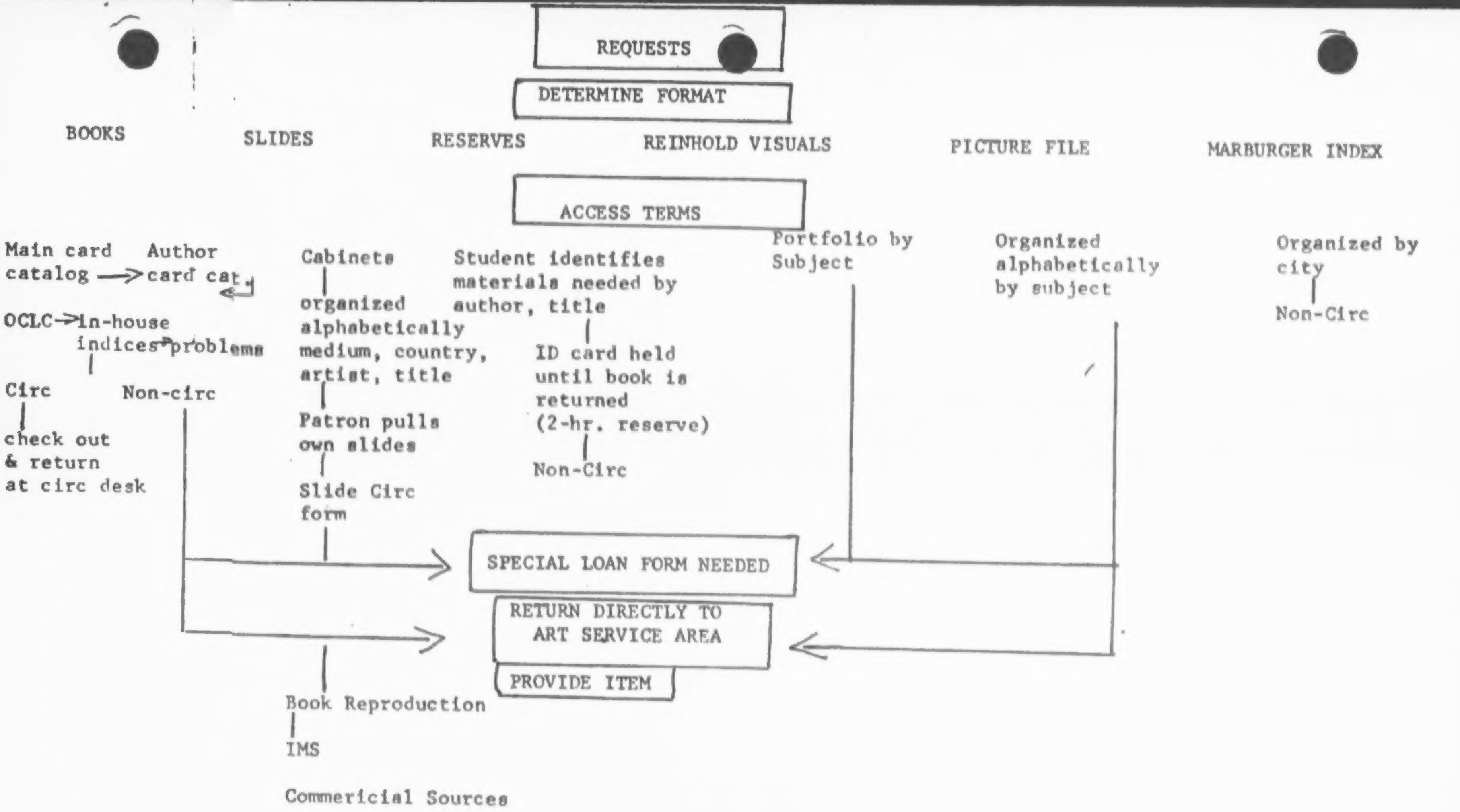
UNIVERSITY ARCHIVES

Information access

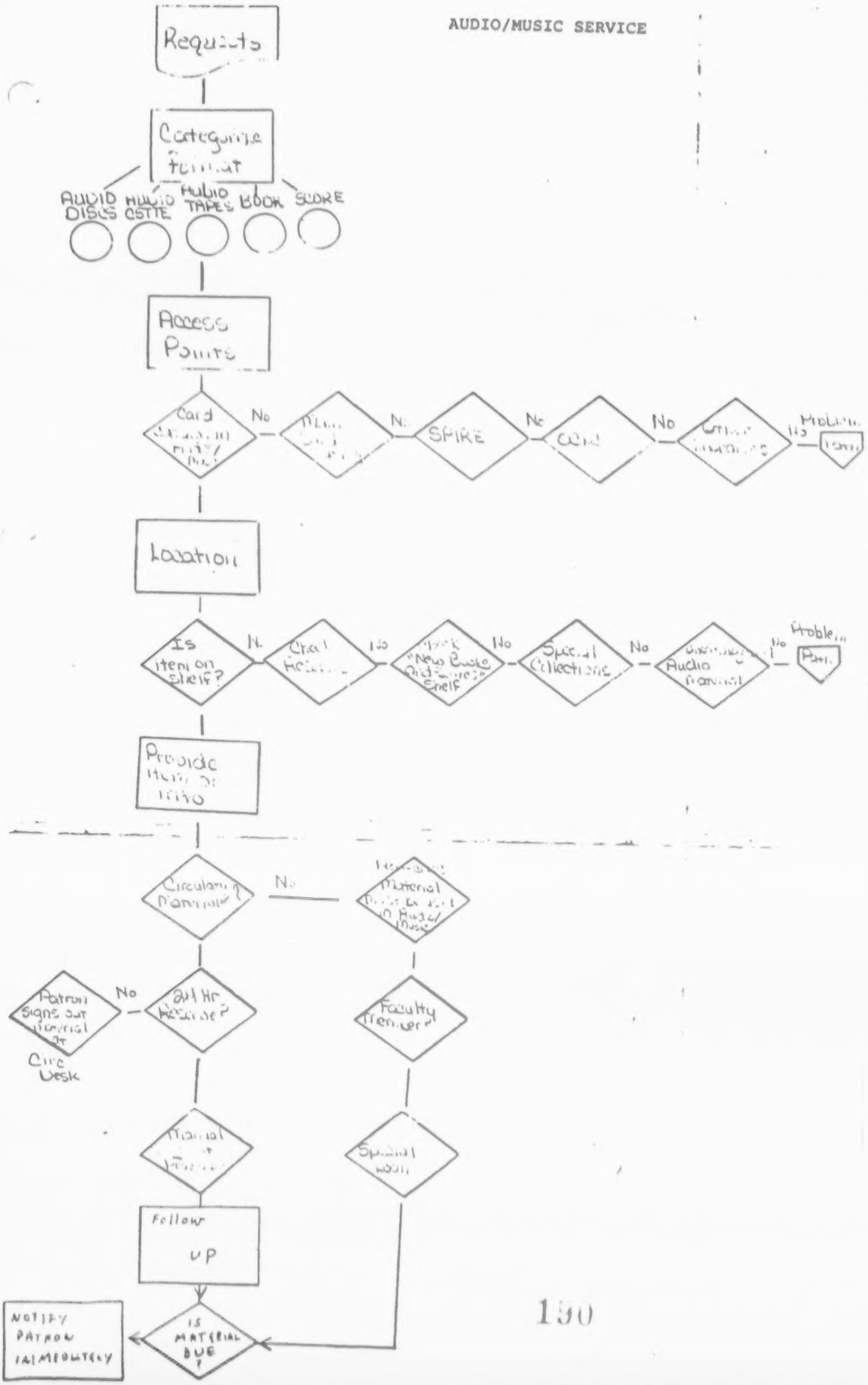
flow chart


Office Records
Accession
Preliminary Processing
Low degree of Processing
High degree of Processing
Register (Final draft)
Collection
File
Register book
Origin office
Register Rough draft
Labels (From Register)
New Folders and Labels
Register (Final draft)
Collection
File
Reg. book
Originating office
University Publications
Monographs
Serials/ Periodicals
To Tech Services For Cataloging
Catalog Cards
To Serials For binding
Shelved in Archives
Archives Card Catalog
Shelved in Archives

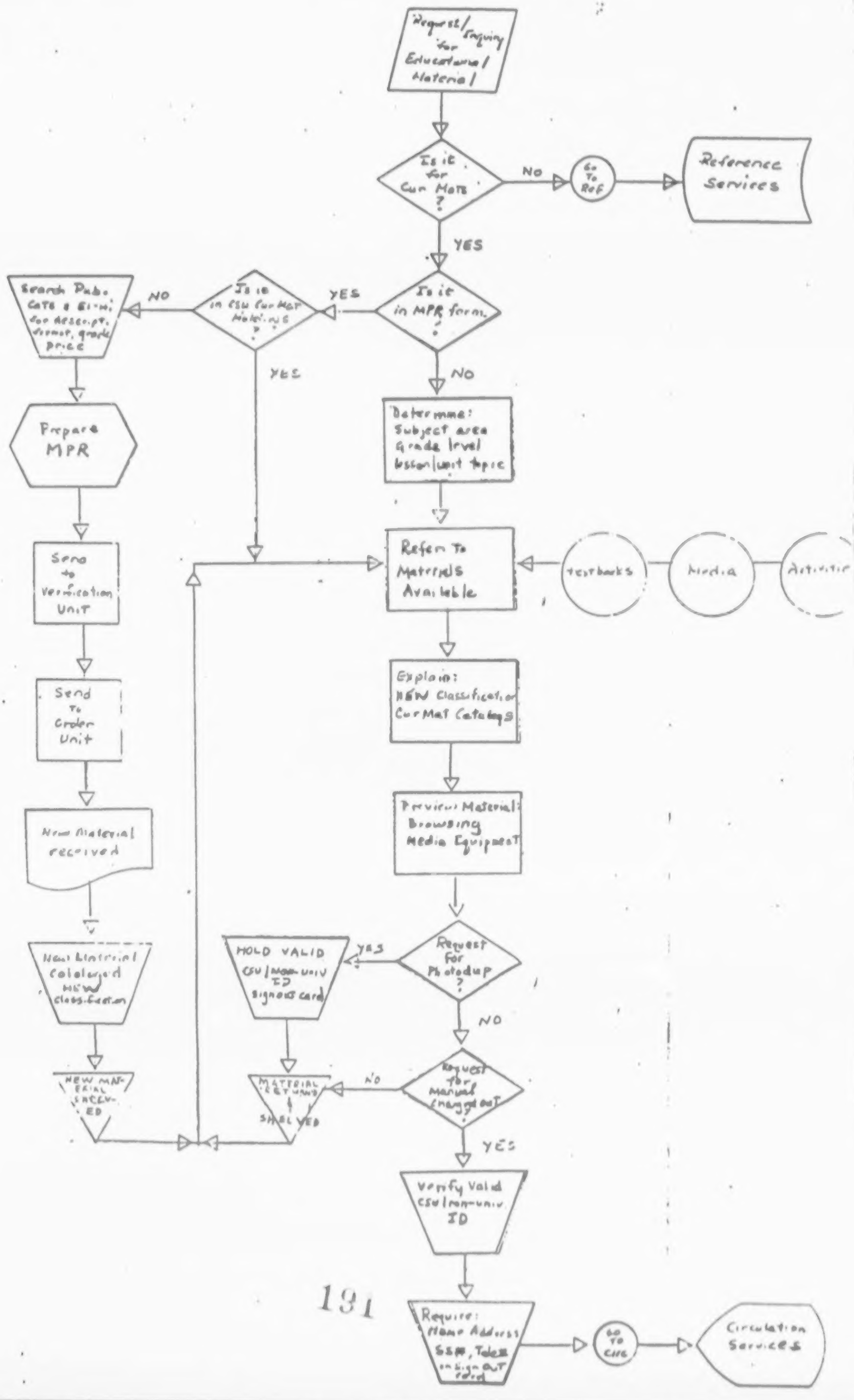

Minutes Trustees'/ Fac. council
Master Theses
Indexing
Index Cards
Indexing
To Tech Service For binding
Archives Card Catalog
Shelved in Archives


REQUESTS
DETERMINE FORMAT
BOOKS
SLIDES
RESERVES
REINHOLD VISUALS
PICTURE FILE
MARBURGER INDEX
ACCESS TERMS
Main card catalog
Author card cat.
OCLC
in-house indices
problems
Circ
Non-circ
check out & return at circ desk
Cabinets
organized alphabetically medium, country, artist, title
Patron pulls own slides
Slide Circ form
Student identifies materials needed by author, title
ID card held until book is returned (2-hr. reserve)
Non-Circ
Portfolio by Subject
Organized alphabetically by subject
Organized by city
Non-Circ
SPECIAL LOAN FORM NEEDED
RETURN DIRECTLY TO ART SERVICE AREA
PROVIDE ITEM
Book Reproduction
IMS
Commericial Sources

AUDIO/MUSIC SERVICE


Requests
Categorize format
AUDIO DISCS
AUDIO CSTTE
AUDIO TAPES
BOOK
SCORE
Access Points
Card
No
SPIRE
No
No
Problem
Location
Is item on shelf?
No
Check
No
"New Books and Scores" shelf
No
Special Collections
No
Audio
No
Problem
Provide
Circulating material?
No
Material
Faculty member?
Special
24 Hr Reserve?
No
Patron signs out material at Circ Desk
Follow UP
NOTIFY PATRON IMMEDIATELY
IS MATERIAL DUE ?

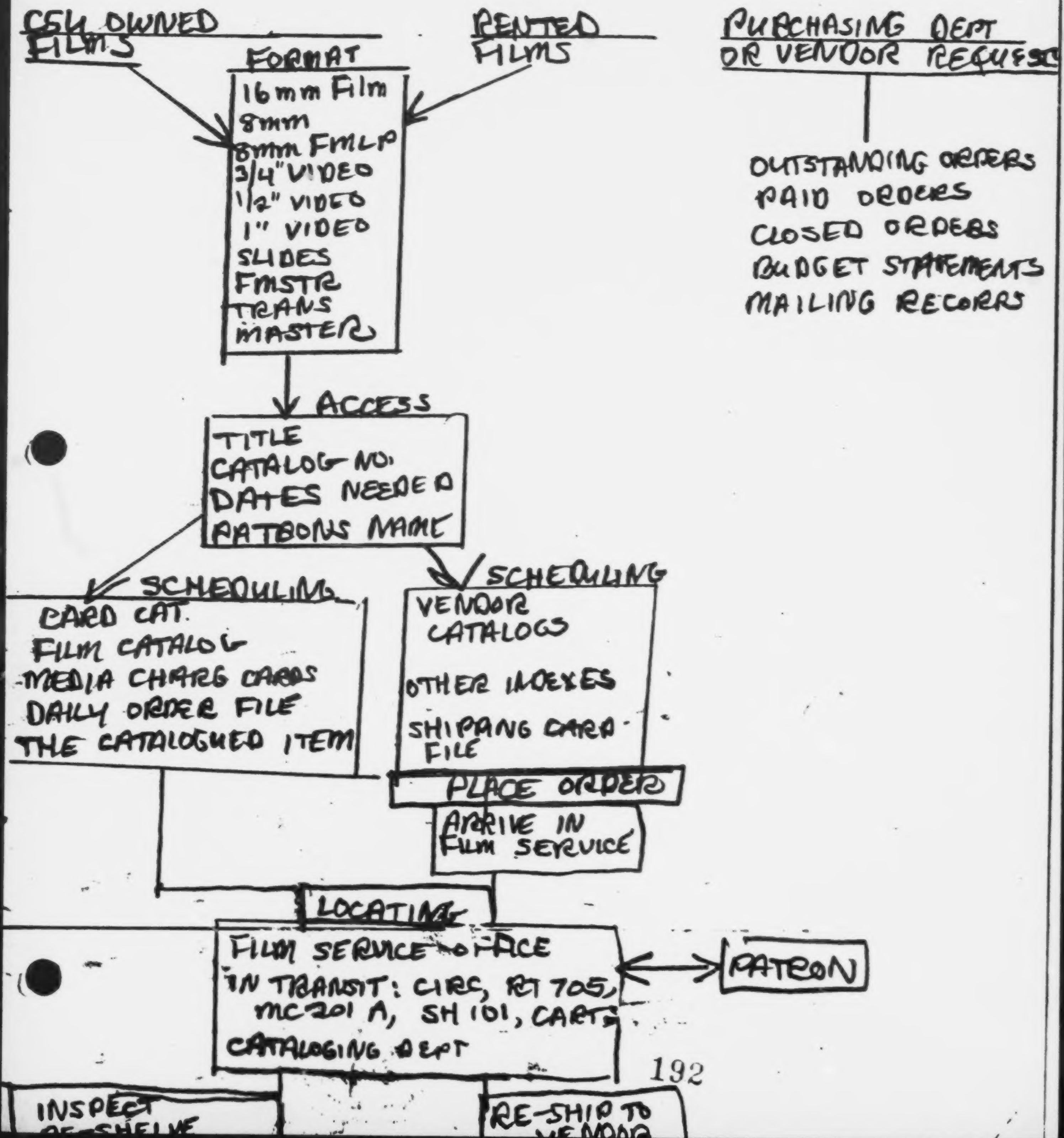
Accessing Bibliographic and Holdings Information in Curriculum Materials


Request/Inquiry for Educational Material
Is it for Cur Mats ?
NO
Go To Ref
Reference Services
YES
Is it in MPR form ?
YES
Is it in CSU Cur Mat Holdings ?
NO
Search Pub. Cats & Bib. for descript., format, grade price
YES
NO
Determine: Subject area Grade level lesson/unit topic
Prepare MPR
Send to Verification Unit
Refer To Materials Available
Textbooks
Media
Activitie
Send To Order Unit
Explain: NEW Classification Cur Mat Catalogs
New Material received
Preview Material: Browsing Media Equipment
New Material Cataloged NEW classification
HOLD VALID CSU/non-univ ID signout card
YES
Request for Photodup ?
NO
NEW MATERIAL SHELVED
MATERIAL RETURNED & SHELVED
NO
Request for Manual (charged out) ?
YES
Verify Valid CSU/non-univ ID
Require: Name Address SS#, Tele# on sign OUT card
Go To Circ
Circulation Services

FILM SERVICE

1/7/86 LEJ.

REQUESTS


CSU OWNED FILMS
RENTED FILMS
PURCHASING DEPT OR VENDOR REQUES
FORMAT
16mm Film
8mm
8mm FMLP
3/4" VIDEO
1/2" VIDEO
1" VIDEO
SLIDES
FMSTR
TRANS
MASTER
OUTSTANDING ORDERS
PAID ORDERS
CLOSED ORDERS
BUDGET STATEMENTS
MAILING RECORDS
ACCESS
TITLE
CATALOG NO.
DATES NEEDED
PATRONS NAME
SCHEDULING
CARD CAT.
FILM CATALOG
MEDIA CHARG CARDS
DAILY ORDER FILE
THE CATALOGUED ITEM
SCHEDULING
VENDOR CATALOGS
OTHER INDEXES
SHIPPING CARD FILE
PLACE ORDER
ARRIVE IN FILM SERVICE
LOCATING
FILM SERVICE OFFICE
IN TRANSIT: CIRC, RT 705, MC 201 A, SH 101, CARTS
CATALOGING DEPT
PATRON
INSPECT
RE-SHIP TO

USER NEEDS

C.S.U. USER NEEDS QUESTIONNAIRE

FINAL REPORT - May 21, 1986

During winter quarter of 1985/86 a questionnaire was sent by the Cleveland State University Libraries to the faculty and to a sample of students, staff, and non-university users of the University Libraries. The purpose of the survey was to ensure that the needs of the users would be known for planning for automation of the Libraries' record systems, in order to improve access and other services.

The questionnaire sought information on what present record systems users felt were difficult to use, how users approach finding specific types of materials in the Libraries' collection, how experienced users were with online library systems in general, and what they felt was the order of priority for putting online the three major systems: the catalog; serials, including periodicals; and circulation.

The response rates show a genuine interest by our users in having some input into the planning process. For each target group of users, the percent of return, number of respondents, and the percentage each group of respondents was of the total were:

GROUP	% OF RETURN	RETURN	% OF TOTAL RESPONSES
Faculty	31.8	180	25.9
Students	19.0	455	65.1
Staff/Administration	20.3	49	7.0
Non-University	13.2	12	1.7

Preparation of Questionnaire:

An appointed committee of four library staff members began planning the survey by conducting a literature search to learn of the experience of other academic libraries. It was found that the University of Cincinnati's questionnaire, used in 1981 to gather opinions on automation needs from their library users, was the best model for our own survey. The time frame of three months for completion of the survey and report was mandated, though an extension of six weeks became possible for preparation of the final report.

The committee determined that questionnaires should be sent to all faculty members, to a 15% sample of the more than 16,000 students enrolled winter quarter, 25% of the university staff, 100% of the library staff, and 15% of our non-university borrowers.

Computer printed cheshire labels were requested from the Academic Affairs Office (for faculty and Special Studies instructors), Personnel Office (staff, both professional and classified, and part-time faculty), and Registrar's Office (students), all of whom had programs for such sampling available. Non-university borrowers were selected by picking every 15th registration card in an alphabetic file (a miscalculation, discovered too late, which provided an actual sample of about 7%). The latter names were then typed on labels and zip code sorted by Circulation student assistants. When the labels were received for the part-time faculty, we discovered that the computer carried no campus addresses for them, yet their large numbers gave them nearly 1/6 of the total sample. Mercifully, the willingness of one very accommodating Personnel Office employee to manually find and read over the phone the addresses for these people saved the day.

After several revisions of our first draft, based on comments and suggestions from the Automation Planning Librarian, the Interim Director of Libraries, and the Assistant Directors, a preliminary copy was given to each member of the Library/IMS Committee as a pre-test. Dr. Kimberly Neuendorf, a member of the committee and faculty member of the Communications Department, volunteered to meet with the questionnaire committee to make suggestions for improving the format of the instrument. After the meeting the committee completely revised the format to incorporate most of Dr. Neuendorf's comments by removing several somewhat redundant questions, reorganizing the questions to give the total questionnaire the appearance of being shorter, and changing the choice of answers from verbal categories to numeric scales to allow for easy computer manipulation of the data.

The questionnaire was then prepared for printing. A cover letter for faculty copies was written by the Provost. To increase participation among students who received questionnaires, the committee wrote a cover letter offering those who replied a chance to win one prize of a $25 gift certificate at the campus bookstore. This excellent idea, contributed by a committee member, is credited with gaining us a sizeable sample of student responses. The first week in April a drawing was held in which the Director of Libraries selected the winner; the Cauldron photographer was invited to record the presentation of the award.

Advance arrangements were made with the Mail Room supervisor. It was necessary for the labeling and stuffing of the envelopes to be contracted out. Faculty and staff questionnaires were to be sent by campus mail in white envelopes, with instructions to return them by campus mail, folded as self-mailers to the return address supplied. Student and non-university questionnaires were to be sent by U.S. mail, with a return reply pre-stamped envelope enclosed. Library staff questionnaires were sent by library mail.

The questionnaires were delivered to the Mail Room, on February 21 for pickup by the mailer. A period of 17 days was allowed for their return by March 10.

When returns were complete, the Academic Consulting staff of Computer Services wrote the program statements to use SAS to produce frequency counts and cross-tabulations. Input from the 699 responses was done by the Reference Assistant.

Significant Findings:

Tabulation of the questionnaire immediately revealed a general satisfaction with present library services, yet a real interest in automating to improve service. There also were a great number of specific suggestions volunteered as answers to Questions 6 ("other") and 9. A detailed, question-by-question analysis is provided as Attachment No.1. A questionnaire copy with raw data tallies is Attachment No.2.

For Question 2, when asked how difficult it was to determine if a book was on order or a periodical bound (thus indicating its shelf location), a surprising number of respondents said they had never tried (56% and 26% respectively).

Ranking their most frequently used approach to looking up books in the card catalog (Question 3), 50% chose subject access as most frequent. Faculty members favored author searches, students at all levels preferred subject searches.

When given three possible situations about which the Libraries sometimes receives loud complaints, and asked to rank how often they had been experienced (Question 4), respondents again minimized the presence of problems. Most encouraging was the small number who felt they had received overdue notices for material already returned on time; 55% had never experienced the situation, and only 3.6% felt they had frequently had such a problem.

In Question 5, over 87% were satisfied with the performance of our present automated batch circulation system, but 40% expressed some dissatisfaction with the manual circulation procedures for materials in the special collections, such as reserve or curriculum materials. Fewer than 17% indicated that they found using the card catalog difficult.

When asked to rank the record system they considered the most important to have converted to an online system first, 71% of respondents to Question 6 chose the card catalog. That was the first choice of all groups of respondents. Periodicals was chosen as first by 20%, but only 9.1% chose circulation as first.

Question 7 was designed to determine how experienced our patrons are in using online library systems. Slightly over half (50.4%) of the respondents indicated they had never used such a system. This indicates we will have to address the training of users very carefully, perhaps more than we would have expected in this age of microcomputer use and the availability of local library computer systems. It was particularly surprising that only slightly over 12% had used an OCLC terminal themselves, despite our introduction in most library instruction classes of OCLC's use for locations of books in other local libraries.

Over 70% replied to Question 8 that remote access would be of some use to them; to 36% it was felt it would be "extremely useful". This is certainly a strong mandate to observe in our planning.

Question 9 elicited a long and varied list of suggestions, some pertinent to automation, some just complaints about specific library policies or practices. What is noteworthy is how frequently the suggestions can be grouped together in general catagories of agreement. These include:

Provide direct access to commercial databases (18)
Provide access to holdings information for other libraries (18)
Have many terminals available (8)
Buy more books (or periodicals) (7)
Maintain the card catalog as a back-up (6)
Provide printers (5)
Provide ready information on whether a book or periodical is checked out (5)
Provide clear instructions for use (4)
Allow interlibrary loan requests online (3)
Do it (automation) right or don't bother (3)
Don't do it at the expense of the book budget (3)
Provide delivery service (3)
Allow renewal of books by phone (3)
Librarians should be on PROFS (2)
Provide access to OCLC (2)
Include the Law Library's catalog (2)

Some of the more original ideas were: the capacity to ask for a list of books charged out to oneself with the due dates, improve the LC subject headings, quit rearranging the Library, put annual reports online, provide access from the College of Engineering's VAX computers, and provide access from any terminal on campus.

ATTACHMENTS:

1. Preliminary report statistics
2. Questionnaire with tallies
3. Cover letters for students and faculty
4. Requests for labels, printing, and mailing

Submitted May 21, 1986, by the User Needs Task Force members:

M. Nolan, Chairperson
B. Cieslik
W. Dean
C. Eley-Durbin

CLEVELAND STATE UNIVERSITY LIBRARIES

AUTOMATION PLANNING - USER NEEDS QUESTIONNAIRE

PRELIMINARY REPORT - APRIL, 1986

1. How frequently do you use the CSU library in Rhodes Tower? Please supply a number in the appropriate space below. [times a week or times a quarter]

   Large spread - no meaningful statistics.

2. Using the library's current record systems, how difficult are the following tasks for you? If you have never tried to perform a given task circle 99 for "not applicable". Circle one number for each part.
   [0 - Very Difficult to 10 - Not at all Difficult]

   2a. To determine if a book or other material has been ordered for the library's collection.

   21.5% (number = 248) circled a number from 6-10, above the median of 5, but 55.7% (n = 386) answered 99 - they had never tried.

   2b. To determine if the library owns a periodical title.

   52.5% (n = 365) circled 8, 9, or 10. 29.9% (n = 208) circled the 10, indicating the task is not at all difficult for them. 11.9% (n = 83) had never tried.

   2c. To determine if the library has received one particular issue of a periodical.

   42.9% (n = 298) circled a number from 7 - 10.
   18.6% (n = 129) had never tried.

   2d. To determine if a particular periodical issue has been bound.

   42.6% (n = 255) circled a number from 6 - 10.
   26.0% (n = 181) had never tried.

3. Please rank in order of your frequency of use, from 1 to 4, the following four methods of using a card catalog. (1 = used most frequently; 4 = used least frequently).
Author Title Series Title Subject

50.1% (n = 344) ranked subject approach first
35.0% (n = 241) ranked author approach first
16.9% (n = 116) ranked title approach first
However, 68.6% ranked author first or second; 66.0% ranked subject first or second. Only 9.8% ranked series title first or second, and 78.7% ranked that approach as their least (4) used approach. 64.8% of the faculty chose author as their first access point, but 66.9% of undergraduates and 53.2% of graduate students ranked subject as their first choice.

4. When using the library, how often do you find yourself in the following situations? Circle one number for each part. [0 - Never to 10 - Always; 99 - N/A]

4a. Unable to find materials in the card catalog which you know to be in the collection.

33.7% chose 0 or 1 and 70.7% circled the median of 5 or below.

4b. Unable to find an item in the card catalog because of incomplete information.

33.3% chose 0 or 1 and 71.3% circled the median of 5 or below.

4c. Receiving an overdue notice for material you have returned on time.

55.2% circled 0! 76.5% circled the median of 5 or below. 14.6% circled 99 for not applicable. Only 3.6% (n = 26) indicated by circling 8, 9, or 10 that they had a problem.

5. How would you rate the following library procedures in terms of ease of use? Circle one number for each part. [0 - Very Easy to 10 - Not at all Easy; 99 - N/A]

5a. Using the card catalog.

44.2% (n = 308) circled 0 or 1; 82.9% circled the median number of 5 or below. Only 1.2% circled 9 or 10.

5b. Checking out materials at the circulation desk.

57.2% circled 0 or 1; 87.9% circled 5 or below.

5c. Checking out materials in other areas of the library, such as Curriculum Materials and Reserve.

40.2% circled 0, 1, or 2; 60.1% circled 5 or below. 26.0% felt the question did not apply to them.

6. If CSU decides it can improve library services through online systems, in what sequence would you like the following groups of records made available online? (1 - first, 4 - last).

-- Author/title/subject catalog (providing, for example: improved subject searching; ability to search with incomplete information; quick updating of catalog; access to the status of materials on order).
-- Circulation (providing, for example: fast check out of materials; current information on items on loan, at bindery, or on reserve; improved overdue/recall services)
-- Periodical holdings (providing, for example: access to current information on issues received, volumes at the bindery, missing issues)
-- Other (please specify):

Converting the card catalog was ranked first by 70.7% (n = 474) respondents, and first or second by a vast majority of 90.4% (n = 606)! Periodicals was chosen as first by only 19.7%, but was first or second choice of 64.4%. Circulation was far behind with only 9.1% making it a first choice and 42.6% second choice.

All groups placed the catalog first: faculty 69.6%, graduate students 67.3%, undergrads 71.6%. Circulation was the leading second choice among undergrads (37.4%) and graduate students (35.5%), but the leading second choice for faculty (50.6%) was periodicals.

7. Have you ever used an online system in any library? [Y - N]
If so, where:
What did it do? Check out materials
Access author/title/subject catalog
List materials on order
Access OCLC
Search a commercial database
Other (specify)

49.6% (n = 345) had used an online system in a library, 50.4% had not. Most of the experienced users had used an online card catalog (42.8%). Only 12.4% had used OCLC. 62.6% of the faculty had used an online system, 51.7% of graduate students, and 39.9% of undergrads. 21.8% of the faculty respondents had used OCLC, 9.5% of graduate students, and only 7.1% of undergrads.

8. How useful would it be to have remote access (from home or office) to the library's online records systems?
[0 - Of No Use to 10 - Extremely Useful]

36.1% (n = 246) of respondents said remote access would be extremely useful; of those 47.4% were faculty, 37.9% graduate students, and 29.7% undergraduates.

14.1% indicated remote access would be of no use; 5.1% were faculty, 19.0% graduate students, 17.0% undergraduates.

72.0% circled the median of 5 or above. Thus, over 2/3 would find remote access useful, but 1/3 would find it extremely useful!

9. Are there any other specific ways in which you feel the library could improve its service to the CSU community through online systems? (please specify):

There were a number of responses written in here.

10. Please check your primary status with the University. Undergraduate student (Year); Graduate student (Dept.); Non-degree student; Faculty (Dept.); Staff; Administration; Non-university. Are you part-time or full-time?

GROUPS	% SAMPLE	% OF TOTAL RESPONDENTS	NO. SENT	NO. RETURNED	% RESPONSE
Students	15	65.1	2400	455	19.0
Faculty	100	25.9	566	180	31.8
Staff/Admin.	15	6.0	241	42	17.4
Non-Univ.	5	1.7	91	12	13.2

58.9% of the responding faculty were from the College of Arts & Sciences, 16.7% from Business, and 24% from all other colleges. (Note: Administrators with faculty rank were in the faculty mailing, but may have chosen the faculty or administration classification here.)

11. In which College or category below are you classified?

COLLEGE	NUMBER	% OF TOTAL
Arts & Sciences	279	40.5
Business	174	25.3
Education	75	10.9
Engineering	70	10.2
Urban Affairs	8	1.2
Law	19	2.8
First	6	0.8
Special Studies	22	3.2
Other	36	5.2

CSU Cleveland State University

Universities Libraries Automation Planning

User Needs Questionnaire

The CSU library in Rhodes Tower is planning to improve library services by introducing online computer systems. We are sending this survey to library users because we believe their participation will provide us with valuable information. Please take a few minutes to complete the eleven questions. Your cooperation in the survey will be greatly appreciated.

---

1. How frequently do you use the CSU library in Rhodes Tower? Please supply a number in the appropriate space below.

0-14 times a week or 0-78 times a quarter

2. Using the library's current record systems, how difficult are the following tasks for you? If you have never tried to perform a given task circle 99 for "not applicable". Circle one number for each part.

	0 Very difficult	1	2	3	4	5	6	7	8	9	10 Not at all difficult	99 N/A
a. To determine if a book or other material has been ordered for the library's collection	17	18	28	25	31	39	18	43	13	27	48	386
b. To determine if the library owns a periodical title	11	9	16	26	28	52	31	74	76	81	208	83
c. To determine if the library has received one particular issue of a periodical	16	11	40	58	25	69	48	66	59	56	117	129
d. To determine if a particular periodical issue has been bound	18	19	37	48	43	52	42	60	50	51	92	181

3. Please rank in order of your *frequency of use*, from 1 to 4, the following four methods of using a card catalog. (1 = used most frequently; 4 = used least frequently).

	1	2	3	4
Author	241	231	144	72
Series Title	26	41	79	539
Title	116	295	237	40
Subject	344	109	178	55

4 When using the library, how often do you find yourself in the following situations? Circle one number for each part.

	0 Never	1	2	3	4	5	6	7	8	9	10 Always	99 N/A
a Unable to find materials in the card catalog which you know to be in the collection	157	77	82	72	43	61	44	37	22	8	7	86
b Unable to find an item in the card catalog because of incomplete information	154	77	92	65	46	61	51	43	20	5	3	77
c Receiving an overdue notice for material you have returned on time	385	61	26	23	11	27	15	21	8	8	10	102

5. How would you rate the following library procedures in terms of ease of use? Circle one number for each part.

	0 Very easy	1	2	3	4	5	6	7	8	9	10 Not at all easy	99 N/A
a Using the card catalog	201	107	96	69	43	62	28	29	22	5	8	27
b Checking out materials at the circulation desk	247	152	92	54	26	42	21	12	5	5	4	37
c Checking out materials in other areas of the library, such as Curriculum Materials and Reserve	111	83	86	59	32	49	33	30	16	10	6	182

6. If CSU decides it can improve library services through online systems, in what sequence would you like the following groups of records made available online? (1 — first, 4 — last)

1	2	3	4	
474	132	59	5	Author/title/subject catalog (providing, for example: improved subject searching; ability to search with incomplete information; quick updating of catalog; access to the status of materials on order)
61	223	362	21	Circulation (providing, for example: fast check out of materials; current information on items on loan, at bindery, or on reserve; improved overdue/recall services)
130	296	222	13	Periodical holdings (providing, for example: access to current information on issues received, volumes at the bindery, missing issues)
				Other (please specify):

7. Have your ever used an online system in any library? ☐ Yes 345 (1) ☐ No 351 (0)

If so, where: ____________________

What did it do?

	Y	N
☐ check out materials	104	592
☐ access author/title/subject catalog	298	398
☐ list materials on order	52	644
☐ access OCLC	86	610
☐ search a commercial database	62	634
☐ other (specify):	19	677

8. How useful would it be to have remote access (from home or office) to the library's online records systems?

96	26	30	27	12	73	32	42	52	45	246
0	1	2	3	4	5	6	7	8	9	10
Of no use										*Extremely useful*

9. Are there any other specific ways in which you feel the library could improve its service to the CSU community through online systems? (please specify):

37	62	96	99	6
1	2	3	4	5

10. Please check your *primary* status with the University.

318 ☐ Undergraduate student (Year ________)

116 ☐ Graduate student (Dept. * ________)

21 ☐ Non-degree student

180 ☐ Faculty (Dept. * ________)

42 ☐ Staff

7 ☐ Administration

12 ☐ Non-university

Are you ☐ part-time or ☐ full time?
132 (1) 438 (2)

11. In which College or category below are you classified?

279 ☐ College of Arts & Sciences 1

174 ☐ College of Business 2

75 ☐ College of Education 3

70 ☐ College of Engineering 4

8 ☐ Urban Studies 5

19 ☐ College of Law 6

6 ☐ First College 7

22 ☐ Special Studies 8

36 ☐ Other 9

Thank you for your participation. Please return the completed questionnaire **by March 10, 1986** in the pre-addressed envelope, if provided. If you are a CSU faculty or staff member, please fold the questionnaire in thirds, staple it once and return it by campus mail to the address supplied on the back page.

*

ACT-4
ANT-2
ART-2
BED-3
BIO-8
BUS-16
[illegible]E-4
CHM-4
CIS-11
COM-9
CVE-4

DRA-1
ECN-1
EDB-4
EDE-5
EDL-2
EDU-25
ELE-4
ENG-22
ESC-1
FIN-3
GEO-1
HED-1

HIS-8
HSC-2
INE-6
LAW-18
LIB-9
MBA-15
MCE-2
MKT-5
MLA-8
MLR-6
MTH-5
MUS-4

NUR-1
PED-7
PHL-4
PHY-7
PSC-6
PSY-15
QBA-4
REL-2
SOC-5
SPH-5
SPS-1
SSR-4
UST-7

ATTACHMENT 5

CLEVELAND STATE UNIVERSITY
CLEVELAND, OHIO 44115

PROVOST AND VICE PRESIDENT
FOR ACADEMIC AFFAIRS

(216) 687-3588

February 10, 1986

TO: FACULTY AND STAFF

Dear Colleagues:

Planning for the introduction of an on-line catalog and other automated library services has been initiated by the Interim Director of University Libraries. In order to ensure that the needs of faculty and staff are considered and met in any computerized library systems that may be installed, the attached questionnaire is being sent to all faculty and staff and to a sample number of students and other library users. This questionnaire and the entire planning process for library automation has been reviewed by the Library/IMS Committee of Faculty Council.

I ask that you take a few minutes of your time to fill out this questionnaire so that the library may have the fullest possible understanding of the needs of faculty and staff when it considers the many alternative methods and systems for providing on-line library services.

Very sincerely,

John A. Flower
Provost and Vice President
for Academic Affairs

JAF:mlr

Attachment

CSU Cleveland State University

University Libraries

1860 East 22nd Street
Cleveland, Ohio 44115-2403
Telephone: (216) 687-2475

February 20, 1986

Dear CSU Student:

How would you like to win a $25.00 gift certificate at the CSU bookstore? It's easy to enter your name in the drawing--just answer the questions on the enclosed short questionnaire and return it in the postpaid reply envelope by March 10, 1986.

The purpose of the questionnaire is to learn more about how you use the CSU library so we can plan to improve our services by introducing online computer systems. Your participation will provide us with valuable information.

Be sure to put your name and address on the upper left corner of the reply envelope. We do not ask you to sign the questionnaire. The reply envelopes will be placed in a hopper for the drawing, and we will identify the winner by the information on the envelope drawn.

Won't you take this opportunity to help us plan for the future? And at the same time you can enter your name to win a valuable gift certificate!

Sincerely yours,

User Needs Task Force
CSU Libraries

/

AT TACHMENT 4

CSU Cleveland State University

University Libraries

1860 East 22nd Street
Cleveland, Ohio 44115-2403
Telephone: (216) 687-2475

TO: John Ursic, Data Systems Coordinator DATE: February 14, 1986

FROM: Dick Swain, Interim Director, CSU Libraries Dick Swain

SUBJECT: Library User Needs Questionnaire

As Marianne Nolan discussed earlier with you on the phone, the CSU Libraries will be mailing a User Needs Questionnaire to a sample of faculty, staff, and students, under a cover letter from the Provost.

I am, therefore, requesting mailing labels for a random sample of 25% of staff, classified and professional, and part-time faculty. This would include codes 33, 11, 66, 16, 77, and 44.

The labels should be cheshire type on plain paper. They should be sorted by building and department code for campus mail delivery. The Libraries' account number is 02300-03100.

Please call Ms. Nolan at x2376 or x2446 when the labels are ready and someone will go to pick them up. The questionnaires are to be mailed by February 21, so speed is important.

If there are any questions, please call Ms. Nolan at x2376. I am grateful for your assistance.

CSU Cleveland State University

University Libraries
1860 East 22nd Street
Cleveland, Ohio 44115-2403
Telephone: (216) 687-2475

TO: Kenneth Artim, Registrar

DATE: February 14, 1986

FROM: Dick Swain, Interim Director, CSU Libraries Dick Swain

SUBJECT: Library User Needs Questionnaire

As Marianne Nolan discussed earlier with you on the phone, the CSU Libraries will be mailing a User Needs Questionnaire to a sample of students, under a cover letter from the Provost. I appreciate your willingness to assist us in this important project by supplying labels for a sample of the total student body.

Our specific request is for cheshire labels on plain paper with home mailing addresses for a random sample of 15% of all CSU students. This should include undergraduate, graduate (including law), Special Studies, and non-degree students. The labels need to be zip code sorted.

If someone will call Ms. Nolan at x2376 (or x2446) when the labels are ready, we will come pick them up. The questionnaires are to be in the mail by February 21, so speed is important.

If there are any questions, please contact Ms. Nolan at x2376. I appreciate your assistance in this project.

CSU Cleveland State University

University Libraries
1860 East 22nd Street
Cleveland, Ohio 44115-2403
Telephone: (216) 687-2475

DATE: February 14, 1986

TO: Jeff Milam, Special Project Assistant, Academic Affairs

FROM: Dick Swain, Interim Director, CSU Libraries Dick Swain

SUBJECT: Library User Needs Questionnaire

As Marianne Nolan discussed earlier with you on the phone, the CSU Libraries will be mailing a User Needs Questionnaire to a sample of faculty, staff, and students, under a cover letter from the Provost.

I am, therefore, requesting mailing labels for all CSU personnel of faculty rank (to include the Law School) and those teaching in Special Studies. The labels should be cheshire type on plain paper and sorted by building code and department for delivery by campus mail.

Please call Ms. Nolan at x2376 (or x2446) when the labels are ready so that someone can be sent to pick them up. The questionnaires are to be in the mail by February 21, so speed is important.

Thank you very much for your help. If there are any questions, please call Ms. Nolan at x2376.

CSU Cleveland State University

University Libraries

1860 East 22nd Street
Cleveland, Ohio 44115-2403
Telephone: (216) 687-2475

TO: Frank Moran, Mail Center Supervisor

DATE: February 17, 1986

FROM: Marianne Nolan, Interim Head of Reference

The print shop has my orders for printing questionnaires, accompanying letters and envelopes. They are to be ready for you on February 19 so they can be given to a mailer and posted February 21 or 22. I hope the Print Shop will call me before you come to take the printed materials so I can add to them the envelopes for the on-campus mailing, and the labels.

The instructions for the mailer would be:

1) Label #10 envelopes (for students) and stuff each with a questionnaire, letter to students, and business reply envelope.
2) Label envelopes for campus mail and stuff each with a questionnaire and letter from the Provost.

Please notify me when the two batches are actually in the mail. Any overages from stuffing should be sent to me.

I will have an additional 250 envelopes to go out by US Mail on February 21. Must these be sealed by us?

Thank you very much for all your help with this project.

CSU Cleveland State University

University Libraries
1860 East 22nd Street
Cleveland, Ohio 44115-2403
Telephone: (216) 687-2475

MEMORANDUM

February 20, 1986

TO: Frank Moran

FROM: Dick Swain, Interim Director, University Libraries Dick Swain

SUBJECT: Mailing "User Needs Questionnaire"

Tomorrow morning the Printing Shop should have ready for your pickup the materials for mailing the Libraries' "User Needs Questionnaire." Marianne Nolan has consulted you previously about provisions for mailing the questionnaires.

With this advance notice I hope that you will be able to get a firm commitment from the mailer you will be contracting the job out to, so that he will try to finish the job and get the US mail envelopes posted by Saturday, if at all possible. This would involve some 2400 envelopes (for US mail).

The exact instructions for the two jobs are as follows.

Job 1 (US Mail):
1) Affix labels (cheshire, plain paper) on 2400 #10 envelopes with idicia, using label set #3;
2) Stuff with a questionnaire, a #9 business reply envelope, and a letter to students.

Job 2 (Campus Mail):
1) Affix labels (cheshire, plain paper) on #10 envelopes without indicia, using label sets #1 and #2;
2) Stuff with a questionnaire and copy of Provost's letter.

There will be an additional mailing of 250 for US Mail, which will be delivered to the mailroom already stuffed, in envelopes with indicia, in zip code sorted order.

Any overages are to be returned to Marianne Nolan, RT 110F. If there are any questions, please do not hesitate to call Ms. Nolan at x2376. The library's account number is 02300-03100.

I appreciate your help in getting these questionnaires mailed as quickly as is possible.

DS:aw

CLEVELAND STATE UNIVERSITY LIBRARIES

SPECIFICATIONS FOR ONLINE SYSTEMS

June 30, 1986

CONTENTS

1 General Requirements

2 System Requirements

3 Database Preparation

4 Acquisitions

5 Cataloging

6 Serials

7 Online Public Access Catalog

8 Circulation

Appendix

- Database Size
- Transaction Volumes
- Requirements for Terminals and Peripheral Equipment
- Glossary

Bibliography

KEY:

(B) = Basic Requirement

(D) = Desirable Feature

1 - GENERAL REQUIREMENTS

1.1 ACCESS POINTS

1.1.1 The following access points shall be available in all subsystems:

1.1.1.1 Author (MARC fields 100, 110, 111, 700, 710, 711)

1.1.1.2 Title (MARC fields 130, 240, 245)

1.1.1.3 Variant title (MARC fields 246, 247, 740)

1.1.1.4 Linked title (MARC fields 730, 760, 762, 765, 767, 770, 772, 773, 775, 776, 777, 780, 785, 787)

1.1.1.5 Control numbers

1.1.1.5.1 Item number

1.1.1.5.2 OCLC control number

1.1.1.5.3 LCCN (MARC field 010)

1.1.1.5.4 ISBN (MARC field 020)

1.1.1.5.5 ISSN (MARC field 022)

1.1.1.5.6 Plate number (MARC field 028)

1.1.1.5.7 USPS number (MARC field 032)

1.1.1.5.8 CODEN (MARC field 030)

1.1.1.5.9 Report number

1.1.1.6 Classification numbers

1.1.1.6.1 Call number (MARC fields 050, 090, or 099)

1.1.1.6.2 SUDOC number (MARC field 086)

1.1.1.7 Series (MARC fields 400, 410, 411, 440, 490, 800, 810, 811, 830)

1.1.1.8 Library of Congress subject headings (MARC field 6xx)

1.1.1.8.1 Subdivision of Library of Congress subject headings

1.1.2 The system shall allow for additional access points.

1.1.3 The system shall allow for additional access points specific to each subsystem (see also sections 4.1, 5.1, 5.4.3.0, 6.1, 7.1, and 8.1).

1.1.4 The system shall allow for a combined name/title search (MARC fields 1xx/2xx) in all subsystems.

1.1.5 Key word searching shall be available.

1.1.5.1 Key word searching in the title fields (MARC 2xx and 130) shall be possible in all subsystems.

1.1.6 The system shall provide for Boolean searching.

1.1.7 The system shall provide for searching a specified string in a specified field and subfield.

1.3 INTEGRATED SYSTEM

1.3.0 The system shall be integrated, having the following operational subsystems: acquisitions, cataloging (including authority control), serials, online public access catalog, and circulation.

1.3.1 The system shall provide for ease of movement between subsystems. (B)

1.3.2 The system should allow for access from one subsystem to another with a single command. (D)

1.3.3 The system shall use an interactive record structure so that transactions on one record will result in immediate changes to all appropriate online files for that record. (B)

1.3.4 The search keys shall be consistent throughout the system. (B)

1.5 TRAINING AND DOCUMENTATION

1.5.1 The vendor shall supply documentation for the library staff, systems staff, and the end user.

1.5.1.1 The vendor shall describe the nature of the documentation which will be supplied. (B)

1.5.1.2 The vendor shall specify the number of copies which will be supplied gratis and the cost of additional copies. (B)

1.5.2 The vendor shall describe the training package which is available with the purchase of the system.

1.5.3 The vendor shall supply assistance to the library staff via a toll-free telephone number.

1.8.1 HELP SCREENS, PROMPTS, TUTORIALS

1.8.1.1 The system shall provide readily accessible help screens in all subsystems.

1.8.2 COMMAND LANGUAGE

1.8.2.1 The system shall provide a constant data feature and input templates to make the system faster and easier to use.

1.8.2.2 Manual override of automatic features shall be provided.

1.8.3 SCREEN DISPLAY

1.8.3.1 Library-specified fields shall be provided.

1.8.3.2 Screen displays appropriate to the specific function shall be provided.

1.8.3.3 The system shall have the capability of scrolling through all displays.

1.8.3.3.1 The system shall permit browsing forward and backward through displays to be defined by the library. (B)

1.8.3.4 The system should provide a highlighting capability.

1.8.8 COMMUNICATION

1.8.8.1 INTRALIBRARY

1.8.8.1.1 Terminals within the library shall be hardwired.

1.8.8.1.2 Interface with other existing or planned library systems shall be provided.

1.8.8.2 ON CAMPUS

1.8.8.2.1 The system shall be compatible with the university's Rolm CBX II Telecommunications System.

1.8.8.2.1.1 The vendor shall be willing to work with the university so that the online public access catalog can be accessed from terminals throughout the university through the Rolm CBX II Telecommunications System. (B)

1.8.8.2.1.2 The vendor shall discuss the compatibility of the system with the Rolm CBX II Telecommunications System. (B)

1.8.8.2.2 The system should be available through PROFS. (D)

1.8.8.3 OTHER LIBRARIES

1.8.8.3.1 The vendor shall describe its experience in developing interfaces between its system and the online systems of other vendors.

1.8.8.3.1.1 The vendor shall cite cases where interfaces with other systems have been put in place. (B)

1.8.8.4 OCLC OR OTHER UTILITES

1.8.8.4.1 The system shall have the capability of interfacing with OCLC or other utilities.

1.8.8.4.1.1 The system shall provide easy switching between the system and databases and utilities. (B)

1.8.8.4.1.2 The system shall provide linkage with OCLC so that other library's holding symbols may be displayed. (B)

1.8.8.5 DIAL ACCESS

1.8.8.5.1 Dial access to the online system shall be possible.

1.8.8.5.1.1 The system shall be able to handle 15 dial access ports. (B)

1.8.8.5.1.2 Dial access should be possible from off-campus sites through the Rolm CBX II telecommunications system. (D)

1.8.8.5.1.3 It should be possible to require identification for dial access use. (D)

1.8.9 SECURITY

1.8.9.1 The system shall provide state-of-the-art security so that unauthorized persons will be restricted from accessing certain parts of the database.

1.8.9.1.1 The system shall provide password security. (B)

1.8.9.1.2 The security system shall allow for different levels of authorization within each subsystem. (B)

1.8.9.1.3 The system should have the capability of providing authorization by user, terminal, subsystem, function, and data element. (D)

1.8.9.1.4 The system should provide immediate reports at system control of log-on to the system at the highest authorization levels. (D)

1.8.9.1.5 An audit trail for all data entries, including updates, should be provided so that adjustments in the data files can be traced by date, operator, terminal, time of day, etc. (D)

1.9 OUTPUT

1.9.5 SPECIAL REPORTS

1.9.5.1 The system shall be able to accommodate report generation from specified data elements either online or in printed form.

1.9.5.1.1 The system shall provide summary reports of routine transactions. (B)

1.9.5.1.2 The system shall have the capability of keeping all statistics on size of the collections and produce reports by format, by truncated LC classification number, etc. for external reports. (B)

1.9.6 ERROR REPORTS

1.9.6.1 The system shall provide detailed reports of problems and unsuccessful transactions. (B)

2 - SYSTEM REQUIREMENTS

2.2 TRANSACTION VOLUME AND DATABASE SIZE

2.2.1 The system shall be able to support the projected 1990 database size and transaction volume (see Appendix) without the addition of CPU, main memory, disk drives, or degradation of response time.

2.3 HARDWARE CONSIDERATIONS

2.3.1 CPU To be written.

2.3.2 DISK DRIVES To be written.

2.3.3 TERMINALS To be expanded.

2.3.3.1 Terminals shall be provided according to the chart in the appendix (Requirements for Terminals and Peripheral Equipment).

2.3.3.2 The system shall provide terminals with printer ports so printers can be moved around. (B)

2.3.4 PRINTERS AND PERIPHERAL EQUIPMENT To be expanded.

2.3.4.1 Terminal printers and peripheral equipment shall be provided according to the appendix (Requirements for Terminals and Peripheral Equipment).

2.3.4.2 A system printer shall be provided.

2.4 SOFTWARE CONSIDERATIONS To be expanded.

2.4.1 The system shall be technologically expandable. (B)

2.5 SYSTEM MAINTENANCE

2.5.1 The vendor shall supply full preventive and diagnostic maintenance for hardware and software.

2.5.1.1 Maintenance shall be sufficiently adequate to assure a 98% system reliability. (B)

2.5.1.2 The vendor shall provide on-site maintenance within four hours during the following times: (B)

Monday - Thursday	7:30 a.m. - 10:30 p.m.
Friday & Saturday	7:30 a.m. - 5:00 p.m.
Sunday	1:00 p.m. - 5:00 p.m.

2.5.1.3 The vendor shall describe its maintenance policy including the location of service points and storage sites for spare parts. (B)

2.5.1.4 The vendor should be able to perform routine diagnostics through dial access. (D)

2.8.5 SYSTEM PERFORMANCE

2.8.5.1 The system shall be operational at least 90 hours per week.

2.8.5.2 The system shall be at least 98% reliable during operational hours.

2.8.5.3 The supplier shall cite institutions in which systems have operated with 98% reliability.

2.8.5.4 Preventive maintenance and housekeeping activities shall be performed during the hours the system is not available for use.

2.8.5.5 The system shall respond quickly to searches.

2.8.5.5.1 All searches based on keys, including single key word searches, shall respond 98% of the time within 5 seconds at peak load and never shall exceed 10 seconds. (B)

2.8.5.5.2 All circulation charge transactions shall respond 98% of the time within 2 seconds at peak load and never shall exceed 5 seconds. (B)

2.8.5.5.3 Boolean searches shall respond 98% of the time within 10 seconds at peak load and never shall exceed 25 seconds. (B)

2.8.6 BACKUP

2.8.6.1 The system shall provide backup mechanisms during downtime.

2.8.6.1.1 The backup mechanism shall record circulation charges during downtime. (B)

2.8.6.1.2 The backup mechanism shall allow access to bibliographic and holdings data during downtime. (B)

2.8.6.1.3 The vendor shall describe the backup system. (B)

2.8.7 SYSTEM BACKUP

2.8.7.1 Programs and procedures shall be supplied for full backup of data in all systems.

2.8.7.2 All additions and modifications shall be journaled.

2.8.7.3 Procedures and programs shall be supplied for restoration of the database were it to be destroyed.

3 - DATABASE PREPARATION

3.2 OCLC MARC TAPES

3.2.1 The database shall be built primarily from OCLC history tapes.

3.3 AUTHORITY FILE

3.3.1 It shall be possible to download OCLC MARC authority records into the database.

3.4 PATRON FILE

3.4.1 It shall be possible to download patron information from the university patron database into the circulation system.

3.4.1.1 The system shall be able to accommodate the following data elements: (B)

3.4.1.1.1 ID number

3.4.1.1.2 Name (first, middle, last)

3.4.1.1.3 Street address

4.4.1.1.4 P/O - Building

4.4.1.1.5 City - Zip Code

4.4.1.1.6 Secondary address

4.4.1.1.7 Home phone number

4.4.1.1.8 Campus phone number

4.4.1.1.9 Business phone number

4.4.1.1.10 Patron status

3.5 SERIALS DATA

3.5.1 It shall be possible to download serial records into the system.

3.5.1.1 The system shall accept serial records in the OCLC METAMARC format. (B)

3.5.1.2 The system shall be able to accommodate the following data elements from the download: (B)

3.5.1.2.1 Corporate entry

3.5.1.2.2 Title

3.5.1.2.3 OCLC number

3.5.1.2.4 Call number

3.5.1.2.5 Location

3.5.1.2.6 Fund

3.5.1.2.7 Notes

3.5.1.2.8 Detailed holdings

3.5.1.2.9 Summary holdings

3.6 LOADING REQUIREMENTS

3.6.1 The database shall be loaded in a reasonable period of time.

3.6.1.1 The supplier shall specify the length of time which will be required to load the database. (B)

3.6.1.2 The supplier shall cite the length of time required to load the databases of other similar institutions. (B)

3.6.9 The system shall generate reports during the download.

3.6.9.1 The supplier shall describe the kinds of reports generated during the download. (B)

3.6.9.2 The system shall generate error reports during the download. (B)

3.6.9.3 The library should be able to supply a list of conditions which cause error messages. (D)

4 - ACQUISITIONS

4.1 ACCESS POINTS

4.1.1 The subsystem shall provide for the access points listed in section 1.1

4.1.2 The subsystem shall provide these additional access points:

4.1.2.1 Order number

4.1.2.2 ISBN prefix for vendor records

4.1.2.3 Requester

4.1.2.4 Format of material

4.1.2.5 Fund name

4.1.2.6 Fund number

4.1.2.7 Account name

4.1.2.8 Account number

4.1.2.9 Vendor name

4.1.2.10 Vendor number

4.1.2.11 Invoice number

4.1.3 Key word searching in the vendor name field shall be possible. (B)

4.1.4 Records in the acquisitions subsystem shall include, but not be limited to, the following data elements: (B)

4.1.4.1 Author

4.1.4.2 Title

4.1.4.3 Alternate title

4.1.4.4 Series

4.1.4.5 ISBN

4.1.4.6 ISSN

4.1.4.7 LCCN

4.1.4.8 OCLC number

4.1.4.9 Edition

4.1.4.10 Publisher

4.1.4.11 Place of publication

4.1.4.12 Date of publication

4.1.4.13 Order number

4.1.4.14 Order date

4.1.4.15 Format of material

4.1.4.16 Language

4.1.4.17 Frequency of publication

4.1.4.18 Status (e.g., on-order, claimed, cancelled, received and in-process, at bindery)

4.1.4.19 Vendor information

4.1.4.20 Type of order (e.g., rush, advance payment, gift, OP)

4.1.4.21 Requester

4.1.4.22 Cataloging location of copy/copies (e.g., 1 REF, 1 CIRC)

4.1.4.23 Encumbered amount

4.1.4.24 Receipt date

4.1.4.25 Item number

4.1.4.26 Expended amount

4.1.4.27 Invoice information (e.g., date of invoice, payment due date, invoice number, date payment made)

4.1.4.28 Fund name

4.1.4.29 Fund number

4.1.4.30 Account name

4.1.4.31 Account number

4.1.4.32 Selector

4.1.4.33 Current report information (e.g., N.Y.P., O.S.)

4.1.4.34 Verification sources

4.1.4.35 Free text (e.g., notes, internal processing information)

4.1.4.36 Special instruction field for vendor

4.1.4.37 Volume/s field

4.1.4.38 Copy/copies field

4.1.4.39 Ship-to and bill-to address

4.2 VENDOR RECORDS

4.2.1 The system shall have the capability of creating, deleting, editing and storing vendor records in a vendor file.

4.2.2 Records in the vendor file shall include, but not be limited to, the following data elements: (B)

4.2.2.1 Vendor name

4.2.2.2 Full address (i.e., street address, city or place, state or province, country, nine-digit postal code)

4.2.2.3 Standard address number

4.2.2.4 Variant addresses

4.2.2.5 Vendor phone number and/or telex

4.2.2.6 Sales representative or contact person

4.2.2.7 Vendor number

4.2.2.8 Free text field

4.2.2.9 Vendor policies (e.g., advance payments, minimum orders, no standing orders accepted, returns policies)

4.2.2.10 Date record entered

4.2.2.11 Date record modified

4.2.2.12 Date record last used

4.2.2.13 Source of vendor information

4.2.3 The vendor file shall be created either by manual input of records, or loading of a CSU or commercial vendor tape file. (B)

4.2.4 The vendor file shall easily accommodate vendor updates, additions and deletions. (B)

4.2.5 Purging of vendor records which have not been used during a library-specified period of time shall be provided. (B)

4.3 ORDERING

4.3.1 The system shall have the capability of generating orders and creating and maintaining related files.

4.3.1.1 The system shall provide for the ordering of all formats of materials. (B)

4.3.1.2 The ability to handle all types of orders shall be provided (e.g., monographs, standing orders, approval orders, subscriptions, gifts, blanket orders). (B)

4.3.1.3 The ability to order multiple volumes and multiple copies shall be provided. (B)

4.3.1.4 Downloading of bibliographic information from bibliographic utilities and other sources for the creation of the order record shall be provided. (B)

4.3.1.5 The system shall allow for the manual entry of data. (B)

4.3.1.6 All orders against overencumbered and/or overexpended funds shall be flagged at the time of issuance. (B)

4.3.1.7 A save file shall be provided so that orders may be entered for authorization at a later time. (B)

4.3.1.8 The on-order/in-process file shall be automatically checked for duplication before a new order is created. (B)

4.3.1.9 The ability to distribute the cost of an order among several funds shall be provided. (B)

4.3.1.10 The option of issuing orders on an individual basis or in a batch mode shall be provided. (B)

4.3.1.11 The ability to print orders or transmit them online shall be provided. (B)

4.3.1.12 An audit trail on all order transactions shall be provided. (B)

4.3.1.13 The ability to generate general inquiries to publishers and vendors either online or in printed form shall be provided. (B)

4.3.1.14 Two-way electronic communication with vendors should be accommodated. (D)

4.3.1.15 The system shall have the ability to handle advance payment orders. (B)

4.3.1.16 Foreign currency conversion shall be provided. (B)

4.3.1.17 Library personnel shall be automatically notified of subscriptions due for renewal. (B)

4.3.1.18 The system should identify those titles which, based upon previous payments, are ready for renewal, but which have outstanding claims due to the non-receipt of issues for some time. (D)

4.3.2 The system shall have the capability of maintaining on-order/in-process records. (B)

4.3.2.1 Clear differentiation shall be made between items on-order, received and in-process; claimed; cancelled; at the bindery; or completed. (B)

4.3.2.2 Automatic generation of notices to the requester, and/or Circulation upon completion of an order, shall be provided. (B)

4.3.2.3 The ability to place holds against on-order/in-process records shall be provided. (B)

4.3.3 The system shall have the capability of assigning purchase order numbers. (B)

4.3.3.1 The system shall have the ability to update the on-order/in-process record for OP and gift titles without assigning a purchase order number. (B)

4.3.3.2 The system should allow for a separate purchase order numbering sequence according to the type of order being placed. (D)

4.4 CLAIMING

4.4.1 The system shall have the capability of claiming all types of orders. (B)

4.4.1.1 Automatic identification and claiming of outstanding orders at a library-specified period of time shall be provided. (B)

4.4.1.2 The ability to issue claims manually shall be provided. (B)

4.4.1.3 Claims shall be printed or transmitted online. (B)

4.4.1.4 The claim date should be automatically adjusted from the date of the latest quote information. (D)

4.4.1.5 The system shall claim invoices for materials which have been received but not invoiced. (B)

4.4.1.6 The system shall automatically generate claim notices for invoiced materials which have not yet been received. (B)

4.4.1.7 The ability to issue claims for damaged, partial or incorrect receipts shall be provided. (B)

4.4.1.8 The ability to review claims before they are printed shall be provided. (B)

4.4.1.9 The operator shall be able to specify or modify the wording to be used on the claiming notice. (B)

4.4.1.10 Identification and listing of items for which two unsuccessful claims have been made shall be provided. (B)

4.4.1.11 The system shall identify titles for which no response has been received against the first claim. (B)

4.4.1.12 The recording of responses by vendors to claims shall be provided. (B)

4.5 CANCELLATIONS

4.5.1 The system shall have the capability of handling cancellation of all types of orders. (B)

4.5.1.1 The ability to process library-initiated or vendor-initiated cancellations shall be provided. (B)

4.5.1.2 The system shall provide for the cancellation of orders by changing their status to cancelled and updating all related files. (B)

4.5.1.3 The system shall provide for entry of the reason for the cancellation. (B)

4.5.1.4 The system shall generate a cancellation notice (either printed or online) for library-initiated cancellations. (B)

4.6 RECEIVING

4.6.1 The system shall have the capability of recording the receipt of all types of materials. (B)

4.6.1.1 The ability to change the status of an ordered item to "received" at time of receipt shall be provided. (B)

4.6.1.2 The ability to handle both complete and partial receipts shall be provided. (B)

4.6.1.3 The ability to check-in multiple volumes and multiple copies shall be provided. (B)

4.6.1.4 It shall be possible to make corrections and adjustments to the data elements on the acquisitions record at the time of receipt. (B)

4.6.1.5 The ability to check-in on the order screen should be provided. (D)

4.6.1.6 Entry of the date of receipt shall be provided. (B)

4.6.1.7 The ability to assign an item number at the time of receipt shall be provided. (B)

4.6.1.8 The ability to make expenditures at the time of receipt of materials or invoices shall be provided. (B)

4.6.1.9 The ability to make expenditures on the order screen should be provided. (D)

4.6.1.10 Foreign currency conversion at the time of receipt shall be provided. (B)

4.6.1.11 Prompts shall be provided to ensure that all necessary information is recorded at the time of receipt. (B)

4.6.1.12 Special shelving, processing instructions, or routing information, shall be printed at the time of receipt. (B)

4.7 FUND ACCOUNTING

4.7.1 The system shall have the capability of creating and maintaining fund accounting records. (B)

4.7.1.1 Records in the fund accounting file shall include, but not be limited to, the following data elements: (B)

4.7.1.1.1 Initial budget amounts

4.7.1.1.2 Initial balance

4.7.1.1.3 Initial encumbrance for each fund

4.7.1.1.4 Total of each account

4.7.1.1.5 Encumbrances

4.7.1.1.6 Expenditures

4.7.1.1.7 Free balance

4.7.1.1.8 Cash balance

4.7.1.1.9 Percentage of fund allocation remaining

4.7.1.1.10 Fiscal year

4.7.1.1.11 Date fund record created

4.7.1.1.12 Date account record created

4.7.1.1.13 Free text field (e.g., restrictions, source)

4.7.1.1.14 Fund number

4.7.1.1.15 Fund name

4.7.1.1.16 Account number

4.7.1.1.17 Account name

4.7.1.1.18 Payee if different than vendor

4.7.1.2 Generation of a chart of accounts and funds shall be provided. (B)

4.7.1.3 The capacity to handle at least 50 funds per account shall be provided. (B)

4.7.1.4 The system shall update appropriate funds for each transaction entered. (B)

4.7.1.5 Easy revision of all pertinent allocation and fund data shall be provided. (B)

4.7.1.6 Carry-over of the previous year's encumbrances on each fund shall be provided. (B)

4.7.1.7 Provision shall be made for $00.00 encumbrances. (B)

4.7.1.8 Provision shall be made for $00.00 expenditures. (B)

4.7.1.9 Provision shall be made for foreign currency conversion. (B)

4.7.1.10 The system shall handle continuous orders (i.e., multiple payments against the same purchase order) on a fiscal-year basis. (B)

4.7.1.11 Provision shall be made to handle credits and refunds. (B)

4.7.1.12 Provision shall be made to distribute on a percentage basis shipping, handling and service charge costs to each purchase order number on an invoice. (B)

4.7.1.13 Accounts and funds which are overencumbered or overexpended shall be flagged according to library-specified limits. (B)

4.7.1.14 The system shall provide for the downloading of invoices from vendors. (B)

4.7.1.15 A list of payees shall be provided. (B)

4.7.1.16 Provision shall be made to calculate projected costs, to supply percentage price increases for serials and standing orders, and to commit appropriate funds. (B)

4.7.1.17 A five-year history file for continuous orders shall be provided. (B)

4.8 GENERAL REQUIREMENTS

4.8.3 SCREEN DISPLAY

4.8.3.1 The system shall have a variety of displays supporting specific acquisitions functions and activities. (B)

4.8.7 BACK-UP (Routine)

4.8.7.1 The system shall accommodate accessible archive records. (B)

4.8.7.1.1 The system shall purge completed records onto archive records at library-specified periods. (B)

4.9.3 STATISTICAL REPORTS

4.9.3.1 The system shall be able to generate vendor performance statistics including, but not limited to, the following: (B)

4.9.3.1.1 Average delivery time

4.9.3.1.2 Number of volumes and titles ordered

4.9.3.1.3 Number of volumes and titles received

4.9.3.1.4 Number of orders filled during a library-specified period of time

4.9.3.1.5 Percentage of difference between encumbered price and expended price

4.9.3.2 The system shall be able to generate lists by fund number of books on-order and of other one-time orders. (B)

4.9.7 PRINTING

4.9.7.1 The system shall be able to issue standardized form letters for claims (materials and invoices) and cancellations. (B)

4.9.7.2 The system shall allow the library to specify the wording of all messages, form letters, and system-generated notices. (B)

5 - CATALOGING

5.1 ACCESS TO THE RECORD

5.1.1 The system shall have the capability of indexing all formatted fields and subfields in the MARC record. (B)

5.1.2 The system shall provide a unique numerical access point for each bibliographic record, different from the OCLC number. (B)

5.1.3 The subsystem shall provide for the access points listed in section 1.1. (B)

5.1.4 The subsystem shall provide this additional access point: (B)

5.1.4.1 Purchase order number

5.2 BIBLIOGRAPHIC RECORD CONTENT AND FORMAT

5.2.0 DEFINITION OF THE RECORD: SOURCES

5.2.1 The system database shall accommodate records originating from OCLC/MARC sources in all formats. (B)

5.2.1.1 OCLC/MARC records shall be added to the database via direct transmission of individual records online from OCLC. (B)

5.2.1.2 Records shall be added to the database via direct transmission of batched records originating from OCLC and other cataloging agencies. (B)

5.2.1.3 Records shall be added to the database via computer tape load. (B)

5.2.1.3.1 The system shall accept data on tapes recorded and formatted according to standards set forth in OCLC/MARC Tape Format, 1984 or latest edition. (B)

5.2.1.4 Records shall be added to the database via original input from terminals and workstations connected online to the system. (B)

5.2.1.4.1 Workforms shall be provided to create original records in OCLC/MARC format independent of OCLC. (B)

5.2.2 Workforms shall be available to create freeform records not strictly adhering to any OCLC/MARC format. (B)

5.2.2.1 Records created in free formats designed by CSU shall not be governed by OCLC/MARC standards of length. (B)

5.2.2.2 The system should allow the input of special bibliographies. (D)

5.2.2.3 Fields shall be accessible for creation of local subject headings or subject descriptors, linked to MARC records. (B)

5.2.3 DEFINITION OF THE RECORD: CONTENT

5.2.3.1 Records in the cataloging subsystem shall include, but not be limited to, the following data elements: (B)

5.2.3.1.1 Leader

5.2.3.1.2 Record directory (Bibliographic record directory and Holdings record directory)

5.2.3.1.3 Control fields

5.2.3.1.4 Fixed fields

5.2.3.1.5 Variable fields

5.2.3.1.6 Tags and subfield codes

5.2.3.2 The length of bibliographic records shall be governed by OCLC Input Standards, 1985 or latest edition. (B)

5.2.8.3 SCREEN DISPLAYS

5.2.8.3.1 The system shall display the full OCLC/MARC record with all tags, subfield codes, delimiters, line numbers and data. (B)

5.2.8.3.2 The system shall create an integrated display of the OCLC/MARC record along with local additions to the record. (B)

5.2.8.3.3 The system should allow suppression of fields for cataloging display purposes. (D)

5.2.8.3.4 The system shall have the capacity to display locally-created records that are longer than OCLC/MARC standard records up to 10,000 characters. (B)

5.2.8.3.5 The system database shall accommodate additions to the basic OCLC/MARC record for local use. (B)

5.2.8.3.6 Message fields shall be available, linked to each MARC record. (B)

5.2.8.3.6.1 Message fields shall be of a temporary or permanent nature, containing, for example, processing control information and local in-process notes. (B)

5.2.8.6 BACK-UP

5.2.8.6.1 The system shall automatically provide back-up to daily cataloging activities carried out on the system, which shall save work in progress in the event of a system shutdown. (B)

5.2.8.6.1.1 The system shall hold all cataloging activity for 24 hours, whether or not changes have been made to the master file, output requested, or transactions initiated with cataloging utilities. (B)

5.4 AUTHORITY CONTROL

5.4.1 DEFINITION OF THE RECORD: SOURCE

5.4.1.1 The system shall accommodate name, title and subject authority records originating from OCLC/MARC and local sources. (B)

5.4.1.1.1 Authority records shall be added to the database via direct transmission of individual records online from the OCLC Authority File. (B)

5.4.1.1.2 Authority records shall be added to the database via direct transmission of batched records originating from OCLC and other cataloging agencies or vendors. (B)

5.4.1.1.3 Authority records shall be added to the database via computer tape load. (B)

5.4.1.1.3.1 The system shall accept authority data on tapes recorded and formatted according to *Authorities: A MARC Format*, latest edition. (B)

5.4.1.1.3.2 The system shall create a provisional record when a heading on a new bibliographic record does not match any heading currently in the file. (B)

5.4.1.1.4 Authority records shall be added to the database via original input from terminals connected to the system. (B)

5.4.1.1.4.1 Workforms shall be provided to create authority records in OCLC/MARC authority format for local use. (B)

5.4.1.2 The capability shall be provided of modifying the OCLC/MARC authority format for local use. (B)

5.4.2.0 DEFINITION OF THE RECORD: CONTENT

5.4.2.1 The length of authority records shall be governed by MARC standards as set forth in National Level Authority Record. (B)

5.4.2.2 The system shall accept additions to the basic MARC authority record for local use. (B)

5.4.2.2.1 The system shall provide the capability of identifying local additions to records in the database. (B)

5.4.2.2.2 The system shall indicate the source of every record. (B)

5.4.2.2.3 The system shall record the date of first use and the date of latest revision of an authority record. (B)

5.4.2.2.4 The system shall provide message fields linked to an authority record. (B)

5.4.3.0 ACCESS

5.4.3.1 The system shall provide for the access points listed in section 1.1. (B)

5.4.3.2 The system shall provide these additional access points: (B)

5.4.3.2.1 OCLC authority record number (ARN)

5.4.3.2.2 Library of Congress authority record control number

5.4.3.2.3 Local control number

5.4.3.2.4 Date of first use

5.4.3.2.5 Date of latest revision

5.4.3.3 The system shall link all occurrences of headings in the bibliographic database and integrate with the other subsystems to provide: (B)

5.4.3.3.1 Full cross reference and information structure, including scope notes. (B)

5.4.3.3.2 The system shall save entries or headings which appear in the authority record, but which are not used in the active reference structure linked to the authority record. (B)

5.4.3.3.3 The system shall provide direct access to subordinate units of name and subject access points. (B)

5.4.3.3.4 In addition to system supplied search keys, the system should allow searching of the authority file with OCLC search keys. (D)

5.4.3.3.5 The system shall allow library-specified stop lists for structuring searches of the authority files. (B)

5.4.4.0 EDITING AND MAINTENANCE

5.4.4.1 The system shall allow changes to access points in the database online by: (B)

5.4.4.1.1 Updating changes in individual authority records

5.4.4.1.2 Adding authority records to the authority file

5.4.4.2 The system shall allow changes to access points in the database offline. (B)

5.6.0 EDITING AND OCLC INTERFACE

5.6.1 For verification, the system shall search CSU's online catalog. If not found, the system shall send the title to the OCLC batch searching system. (B)

5.6.2 The system shall provide for batch and online searching of the OCLC bibliographic and authority files. (B)

5.6.3 The system shall batch-search OCLC using all available OCLC search keys. (B)

5.6.4 The system shall route searched bibliographic records to the searcher. (B)

5.6.5 Direct keying into the system shall include the following features: (B)

5.6.5.1 OCLC/MARC workform displays in all formats. (B)

5.6.5.2 Locally created workform displays for bibliographic records, authority records, and item holdings displays. (B)

5.6.5.3 The ability to insert characters, fields, and subfields without rekeying (i.e., moving blocks). (B)

5.6.5.4 The ability to arrange automatically fields in a prescribed order. (B)

5.6.5.5 Full screen editing. (B)

5.6.6 The system shall provide online error identification for the following: (B)

5.6.6.1 Incorrect tags

5.6.6.2 Incorrect subfield codes

5.6.6.3 Incorrect ISBD

5.6.6.4 Incorrectly formatted ISSN and ISBN

5.6.6.5 Headings that are not in the authority file

5.6.6.6 Item numbers already in use

5.6.6.7 Duplicate call numbers

5.6.6.8 Duplicate records

5.6.6.8.1 Duplicates shall be determined by criteria other than simple comparison of OCLC control numbers.

5.6.7 The system shall have the ability to proceed with input of a bibliographic record based on an instantly created provisional authority record. (B)

5.6.8 The system shall provide ease of switching between the online catalog, the authority file, and the cataloging in-process file. (B)

5.6.9 When a bibliographic record is being updated on one subsystem, there should be a simultaneous lock so that no action can be taken on it from any other subsystem or terminal. (D)

5.6.10 The system should have the capability of linking each transaction with the individual authorization number used at its creation. (D)

5.6.11 The system shall have a file structure designed to support rapid changes to the database, including global changes, which do not take time away from other system functions. (B)

5.6.12 The system shall accommodate changes in file structure without reindexing the entire database, including: (B)

5.6.12.1 Change in the index field in an existing record

5.6.12.2 Addition of new fields to existing records

5.6.12.3 Inclusion of new MARC formats

5.6.12.4 Inclusion of records in other formats

5.6.13 The system shall allow immediate global changes (i.e., real-time changes). (B)

5.6.13.1 The system shall allow global changes of identical field contents. (B)

5.6.13.2 The system shall allow global changes of identical field contents with specified exclusions (e.g., ability to limit to specific library or location). (B)

5.6.13.3 Global changes should be made automatically in all item records, serial control records, etc. linked to the master record. (D)

5.6.17 UPLOADING CATALOGING

5.6.18 The system shall verify conformity with MARC format before uploading. (B)

5.6.19 The system should upload original cataloging in a batch. (D)

5.6.20 The system should provide the option of adding records directly to the database, bypassing the utility, creating an archive record, or transmitting CSU's holdings symbol only. (D)

5.6.21 The system should automatically send our symbol to OCLC for items CSU owns. (D)

5.6.21.1 The system should upload holdings symbols in a batch. (D)

5.6.22 FILING CONTROL

5.6.23 The system shall sort accurately by call numbers. (B)

5.6.23.1 The system shall check for errors in call number formatting. (B)

5.6.23.2 The system should accomodate call numbers formatted with locations in the first subfield, by incorporating a dictionary of locations for filing control. (D)

5.6.24 The system should identify and flag the "size" subfield of the physical description even if improperly coded. (D)

5.7 HOLDINGS

5.7.1.0 DEFINITION

5.7.1.1 All holdings for a bibliographic entity shall be linked to or included in a single master bibliographic record. (B)

5.7.1.1.1 The system shall accept and store holdings information formatted according to NISO standards and to the *U.S. MARC Format for Holdings and Locations*, 1984. (B)

5.7.1.1.2 The system shall accept and flag holdings information formatted according to other standards. (B)

5.7.1.1.3 Holdings information shall be generated from the OCLC/MARC record. (B)

5.7.1.1.3.1 The system shall store holdings information from information recorded in the 049 and 9xx fields of the OCLC/MARC records. (B)

5.7.1.3.3.2 The system shall accept multiple holdings fields. (B)

5.7.1.1.4 For serials holdings linked to serials bibliographic records see 6.2 and 6.7. (B)

5.7.1.1.5 Serials check-in shall update holdings statements. (B)

5.7.2 CONTENT

5.7.2.1 The system shall support an unlimited number of separate physical items for each bibliographic record. (B)

5.7.2.2 The following item specific information shall be linked to or stored in the bibliographic record: (B)

5.7.2.2.1 Item number up to 16 characters long. (B)

5.7.2.2.2 Chronology and enumeration, in any language. (B)

5.7.2.2.2.1 Hierarchial levels of enumeration should be arrayed in a table formatted by the library. (D)

5.7.2.2.3 Permanent location and sublocation (i.e., Bound Periodicals Stacks, Reference, Poetry Collection). (B)

5.7.2.2.3.1 The system shall interpret OCLC holding symbols from a table developed by the library and updatable by the library. (B)

5.7.2.2.3.2 The library shall be able to develop a table of other locations. (B)

5.7.2.2.3.3 The library shall be able to change locations. (B)

5.7.2.2.3.4 It shall be possible to input additional locations locally. (B)

5.7.2.2.4 Order status (i.e., in-process, claimed, on-order, received). (B)

5.7.2.2.5 Circulation status (i.e., non-circulating, available, charged out, recalled, renewed, hold, missing, lost). (B)

5.7.2.2.6 Temporary location (i.e., I.L.L., Reserve, Periodicals Vertical File, Unbound Periodicals Shelves). (B)

5.7.2.2.6.1 The library shall be able to assign temporary locations locally. (B)

5.7.2.2.6.2 The library shall be able to change temporary locations. (B)

5.7.2.2.6.3 The system shall retain both the permanent and temporary location assignment. (B)

5.7.2.2.6.4 The system shall show both the date the item was assigned to a temporary location and the expected date of return to the permanent location, if known. (B)

5.7.2.2.7 Bindery status. (B)

5.7.2.2.8 Message field. (B)

5.7.2.2.9 Retention statement. (B)

5.7.2.2.9.1 The system shall allow copy specific retention information. (B)

5.7.2.2.10 Dates of transactions. (B)

5.7.2.2.10.1 The system shall allow copy specific date information, including, but not limited to the following transactions and status: (B)

5.7.2.2.10.1.1 Order transaction dates. (B)

5.7.2.2.10.1.2 Temporary location transaction dates. (B)

5.7.2.2.10.1.3 Circulation transaction dates. (B)

5.7.2.2.10.1.4 Bindery transaction dates. (B)

5.7.2.2.10.1.5 Dates of messages. (B)

5.7.4 EDITING: MANIPULATION, DELETION

5.7.4.1 A workform shall be provided to create and alter holdings information. (B)

5.7.4.2 The system shall allow selective and en masse deletion of holdings information. (B)

5.7.4.3 The system shall provide full-screen editing of holdings information. (B)

5.7.4.4 The system shall allow en masse change of location; sublocation; temporary location; cataloging treatment; call number; retention; and order, circulation, and bindery status. (B)

5.7.4.5 The system shall provide for remote inventory via portable bar code readers. (B)

5.7.5 DISPLAY

5.7.5.1 For the display of holdings in the online public access catalog subsystem, see section 7.3.

5.7.89 SECURITY

5.7.89.1 The system shall contain a save file for withdrawn holdings. (B)

5.7.89.2 The system shall check input for complete and properly formatted item numbers, correct location designation, and other appropriate codes. (B)

5.7.89.3 The system shall flag all bibliographic records from which all holdings have been deleted. (B)

5.7.9 OUTPUT

5.7.9.1 The system shall provide statistical reports for added, deleted, and withdrawn items. (B)

5.7.9.2 The system shall allow the library to design reports related to holdings. (B)

5.8 GENERAL REQUIREMENTS

5.8.3 SCREEN DISPLAY

5.8.3.1 The system shall display searches in alphabetical order according to the ALA Filing Rules (latest edition). (B)

5.8.5 SYSTEM PERFORMANCE

5.8.5.1 The system shall accommodate records originating from OCLC/MARC sources. (B)

5.8.5.1.1 The database shall accept individual OCLC/MARC records via direct transmission of individual records online from OCLC. (B)

5.8.5.1.2 The system shall add batched records from OCLC or other cataloging agencies via direct transmission. (B)

5.8.5.1.3 The system shall accept records via computer tape load. (B)

5.8.5.1.3.1 The system shall accept data on tapes recorded and formatted according to standards set forth in appropriate OCLC format documents. (B)

5.8.5.1.3.2 The system shall accommodate OCLC archive tapes. (B)

5.8.5.1.4 The system shall add records to the database via original input from terminals and workstations connected online to the system. (B)

5.8.5.1.4.1 Workforms shall be provided to create original records in OCLC/MARC format independent of OCLC. (B)

5.8.5.2 The system shall accept, display, and transmit the complete ALA character set for each record. (B)

5.8.5.3 The system shall provide a unique numerical access point for each bibliographic and authority record, different from the OCLC number. (B)

5.8.5.4 Manual input keystrokes shall be minimized by the use of input templates and repeat functions. (B)

5.8.5.5 The system should provide programmable function keys. (D)

5.8.5.6 The system should automatically arrange the fields of records in a prescribed order. (D)

5.8.5.7 The system shall have the capacity to use any screen display of a bibliographic, authority, or item holdings record to clone new records. (B)

5.8.5.8 The system shall check input for complete and properly formatted control numbers and location designations. (B)

5.8.5.9 Duplicate records shall be detected by the comparison of control numbers as well as of other appropriate data elements. (B)

5.8.5.10 The system shall automatically detect and prevent input or use of duplicate control numbers, including item numbers. (B)

5.8.5.11 The system shall provide for separate files for work in progress.(B)

5.8.5.12 The system should provide for separate files for records and holdings on inactive or withdrawn status. (D)

5.8.5.13 The system shall provide the capability of directly accessing the authority or bibliographic record, including holdings information. (B)

5.8.5.14 The system should recommend online or offline processing of jobs based on the load to the system. (D)

5.8.6 BACKUP

5.8.6.1 The system shall provide backup to daily cataloging activities, which shall save work in progress in the event of a system failure. (B)

5.8.6.1.1 The system shall hold all cataloging activities for 24 hours. (B)

5.8.8 COMMUNICATION WITH OTHER SYSTEMS

5.8.8.1 The integrity of records for transfer to other systems or union cataloging shall not be affected by the addition of special information to records for local use in the online catalog. (B)

5.8.9 SECURITY

5.8.9.1 The system should lock records in the process of being added, updated, or withdrawn. (D)

5.8.9.2 The system should not allow the addition of duplicate or conflicting records. (D)

5.9 **OUTPUT**

5.9.1 The system shall have the capability of providing cataloging output products. (B)

5.9.1.1 The system shall have the capability of printing catalog cards. (B)

5.9.1.2 The system shall produce output on tape. (B)

5.9.1.3 The system shall produce output formatted for COM. (B)

6 - SERIALS

6.0 GENERAL REQUIREMENTS

6.0.1 The capability of handling all serial publications, regardless of format, publication, or acquisitions status (e.g., MRDF's and sound recordings) shall be provided. (B)

6.0.2 Multiple serials control records (e.g., bindery and check-in) shall be linked to each other and to a single bibliographic record in the public access catalog. (B)

6.0.3 Serials titles in one format shall be linked to the same serial title and holdings in another format (e.g., print and microform holdings). (B)

6.0.4 Repeatable fields shall be provided when necessary. (B)

6.0.5 Supplement records shall be linked to the main serials record. (B)

6.1 ACCESS POINTS

6.1.1 The subsystem shall provide for the access points listed in section 1.1. (B)

6.1.2 The subsystem shall provide these additional access points: (B)

6.1.2.1 Purchase order number

6.1.2.2 Bar code printed on publication

6.1.2.3 Fund number

6.1.5 DATA ELEMENTS

6.1.5.0 Records in the serials subsystem shall include, but not be limited to, the following data elements: (B)

6.1.5.1 Cataloging title

6.1.5.2 Variant titles

6.1.5.3 Spine title

6.1.5.4 Uniform title

6.1.5.5 Edition

6.1.5.6 Series

6.1.5.7	Publisher
6.1.5.8	Vendor name
6.1.5.9	Vendor number
6.1.5.10	Call number
6.1.5.11	ISBN
6.1.5.12	ISSN
6.1.5.13	Local unique ID number
6.1.5.14	OCLC number
6.1.5.15	CODEN
6.1.5.16	Price code
6.1.5.17	Purchase order number
6.1.5.18	Fund number
6.1.5.19	Subject codes
6.1.5.20	Temporary location
6.1.5.21	Enumeration hierarchy
6.1.5.22	Invoice information
6.1.5.23	Retention period
6.1.5.24	Regularity
6.1.5.25	Membership information
6.1.5.26	Date of receipt
6.1.5.27	Bound holdings
6.1.5.28	Unbound holdings
6.1.5.29	Library-specified binding frequency
6.1.5.30	Library location and sublocation
6.1.5.31	Next expected issue
6.1.5.32	Frequency
6.1.5.33	Routing information

6.1.5.34 Publication type code

6.1.5.35 Format

6.1.5.36 Claiming field

6.1.5.37 Free text note field

6.1.5.38 Cross reference entries (i.e., entries which refer to the title)

6.2 CHECK-IN

6.2.1 The system shall have the capability of checking-in all serial publications including, but not limited to, those of regular, irregular or unknown publishing frequency; special issues, supplements, indexes, and cumulations.

6.2.2 The system shall provide automated check-in features including, but not limited to, the following components:

6.2.2.1 Automatic indication of the next expected issue shall be provided. (B)

6.2.2.2 Check-in with minimum keystrokes shall be provided. (B)

6.2.2.3 Automatic entry of the date of receipt shall be provided. (B)

6.2.2.4 Automatic update of the next expected issue upon check-in of a subsequent predicted issue shall be provided. (B)

6.2.2.5 Provision shall be made for the receiving and recording of an issue outside the predicted sequence without disturbing the integrity of the prediction and claiming mechanisms. (B)

6.2.2.6 The ability to check-in by reading the bar code printed on the publication should be provided. (D)

6.2.2.7 The ability to apply a unique item number for each physical piece shall be provided. (B)

6.2.3 The system shall have the capability of checking-in items which do not fall within the normal check-in work flow.

6.2.3.1 The check-in of back issues shall be provided. (B)

6.2.3.2 The check-in of received claims shall be provided. (B)

6.2.3.3 The check-in of issues unexpectedly published in multiple parts shall be provided. (B)

6.2.3.4 The check-in of numbered monographic series with full linkage between the check-in record and the individual records should be provided. (D)

6.2.3.5 The check-in of unnumbered monographic series (which may be author/title listings) with full linkage between the check-in record and the individual records should be provided. (D)

6.2.3.6 The check-in of multiple copies shall be provided. (B)

6.2.3.7 The ability shall be provided to edit manually a check-in record to reflect that a previously checked-in issue is now missing. (B)

6.2.4 The system shall have the capability of providing a variety of special check-in records including, but not limited to, the following records:

6.2.4.1 The ability to create temporary check-in records shall be provided. (B)

6.2.4.2 The ability to link temporary check-in records to minimal bibliographic records shall be provided. (B)

6.2.4.3 The ability to create temporary check-in records with the option of not linking to a bibliographic record shall be provided. (B)

6.2.4.4 Brief records indicating only that the title is to be discarded shall be provided. (B)

6.2.5 The system shall have the capability of printing labels, forms, or routing slips at the point of check-in, or in batch mode. It shall include, but not be limited to, the following features:

6.2.5.1 Library-designed forms and slips for routing shall be provided. (B)

6.2.5.2 When particular pieces are ready to be relocated, a library-designed notification form shall be automatically generated. (B)

6.2.5.3 When particular pieces are ready to be bound, a library-designed notification form shall be automatically generated. (B)

6.2.5.4 When particular pieces are ready to be discarded, a library-designed notification form shall be automatically generated. (B)

6.2.5.5 The ability to produce call number labels suitable for a variety of physical items shall be provided. (B)

6.2.5.5.1 The ability to produce microform labels should be provided. (D)

6.3 ROUTING

6.3.1 The system shall have the capability of facilitating the routing of serial publications.

6.3.1.1 The ability to add, delete, or adjust routing instructions on any serial record shall be provided. (B)

6.3.1.2 Confidentiality of all names in the routing system shall be provided. (B)

6.3.1.3 Universally deleting or adding names to the routing list should be provided. (D)

6.3.1.4 Charge and discharge of routed materials should be provided through the serials subsystem. (D)

6.3.1.4.1 The ability to assign due dates to routed materials should be provided. (D)

6.3.1.4.2 The ability to use due dates determined by the library should be provided. (D)

6.3.1.4.3 The ability to print date due slips should be provided. (D)

6.3.1.4.4 The ability to generate and print overdue notices should be provided. (D)

6.3.1.5 A history record of the routed materials (to be adjusted periodically) should be provided. (D)

6.3.1.6 Routing information on each individual title should be provided, including, but not limited to: (D)

6.3.1.6.1 Person

6.3.1.6.2 CSU Department

6.3.1.6.3 Campus address

6.3.1.6.4 Enumeration

6.3.1.6.5 Chronology

6.3.1.6.6 Date routed

6.3.1.6.7 Date due

6.3.1.6.8 Date returned

6.3.1.7 The ability to generate lists and reports, including, but not limited to, the following, should be provided: (D)

6.3.1.7.1 The ability to print a list of all materials available for routing should be provided. (D)

6.3.1.7.2 The ability to print a list of titles routed by department and/or individual names should be provided. (D)

6.3.1.7.3 The ability to print a list of titles returned from routing should be provided. (D)

6.5 CLAIMING

6.5.1 The system shall have the capability of identifying and listing serial publications not received.

6.5.1.1 The identification of issues not received when a subsequent issue is received shall be provided. (B)

6.5.1.2 Titles shall be identified for which no issues have been recorded within a library-specified period of time. (B)

6.5.1.3 The ability to specify the length of time before first claims are sent shall be provided. (B)

6.5.1.4 The ability to specify the length of time between first and second claims shall be provided. (B)

6.5.1.5 The ability to designate whether a particular title will be automatically claimed or subject to review before claiming shall be provided. (B)

6.5.1.6 Identification of potential claims on the check-in record shall be provided. (B)

6.5.1.7 The generation of a claims alert list on a library-specified basis (printed or online) shall be provided. (B)

6.5.1.8 Manual adjustment of a claim alert shall be provided. (B)

6.5.1.9 Exemption of titles from the claiming process shall be provided. (B)

6.5.2 The system shall have the capability of generating claims.

6.5.2.1 The ability to generate claims automatically shall be provided. (B)

6.5.2.2 The ability to override the automatic claim feature shall be provided. (B)

6.5.2.3 The ability to generate claims manually shall be provided. (B)

6.5.2.4 Claims shall be generated in printed form, machine-readable form, or through direct transmission to the vendor. (B)

6.5.2.5 Library-designed forms shall be used when generating printed claim notices. (B)

6.5.2.6 The capacity to generate first and second claims per issue shall be provided. (B)

6.5.3 The system shall have the capability of displaying titles and issues which have been claimed.

6.5.3.1 Identification of the nature of current outstanding claims (e.g., first claim, second claim, and its corresponding date) shall be provided on the check-in record. (B)

6.5.3.2 Identification of titles for which two unsuccessful claims have been made shall be provided. (B)

6.5.3.3 Generation of a list of titles for which two unsuccessful claims have been made shall be provided. (B)

6.5.4 The system shall have the capability of handling claim responses.

6.5.4.1 The status of a claimed issue shall be automatically changed to "received" when the issue is checked in. (B)

6.5.4.2 The ability to override the claim cycle as a result of a claim response other than the receipt of an issue shall be provided. (B)

6.5.4.3. The ability to record details of claim responses should be provided. (D)

6.5.4.4 The option of using free text or codes in recording claim responses should be provided. (D)

6.5.4.5 The ability to sort types of claim responses and generate appropriate lists (e.g., out-of-print, out-of-stock) should be provided. (D)

6.5.4.6 The ability to change the status of an unresolved claim from "claimed" to "missing" on the check-in record shall be provided. (B)

6.6 BINDING

6.6.1 The system shall have the capability of providing information on units which, according to the check-in records, are ready for binding.

6.6.1.1 The information shall be provided online or on a printed bindery notification list. (B)

6.6.1.2 This list shall include cataloging title, enumeration, chronology and call number. (B)

6.6.1.3 The ability to modify or override the information contained in the notification list shall be provided without changing the established binding frequency. (B)

6.6.1.4 The ability to enter manually binding information for titles not generated by the bindery notification list shall be provided. (B)

6.6.2 The system shall have the capability of generating a printed binding pattern for titles to be sent to the bindery.

6.6.2.1 The capacity to store the binding information on each title for the production of completed library-designed binding patterns shall be provided. (B)

6.6.2.2 Information on the binding pattern shall include: (B)

6.6.2.2.1 Unique record number(s)

6.6.2.2.2 Spine title

6.6.2.2.3 Author

6.6.2.2.4 Enumeration

6.6.2.2.5 Chronology

6.6.2.2.6 Call number

6.6.2.2.7 Location of spine information

6.6.2.2.8 Type of binding

6.6.2.2.9 Color of cover

6.6.2.2.10 Color of lettering
6.6.2.2.11 Special instructions to library staff

6.3.2.2.12 Special instructions to the bindery

6.6.2.2.13 Date shipped

6.6.2.2.14 Date of expected return

6.6.2.3 Easy modification of the information on the binding patterns shall be possible. (B)

6.6.2.4 A binding pattern shall be generated on demand or in batch mode when the library determines a unit is ready to be bound. (B)

6.6.2.5 When the binding patterns are generated, the serials control records for each title shall automatically include the shipment date and the expected return date. (B)

6.6.2.6 The ability to make global updates for any changes in shipment or return dates shall be provided. (B)

6.6.3 The system shall have the capability of providing information on materials to be sent to the bindery.

6.6.3.1 The ability to generate a printed bindery shipment list shall be provided. (B)

6.6.3.2 This list shall include spine title, enumeration, chronology, unique record number, and the number of volumes sent. (B)

6.6.3.3 The list shall be printed in alphabetical order. (B)

6.6.3.4 The list shall be sorted by type of binding (e.g., economy, basic). (B)

6.6.4 The system shall have the capability of checking in volumes returned from the bindery.

6.6.4.1 Check-in of a shipment shall be possible either unit by unit or en masse. (B)

6.6.4.2 The ability to check-in partial shipments without the necessity of unit by unit check-in shall be provided. (B)

6.6.4.3 When a bindery unit is checked in, the "binding in process" notation shall be deleted automatically from the check-in record. (B)

6.6.4.4 When a bindery unit is checked in, the bound holdings field in the check-in record shall be updated automatically. (B)

6.6.4.5 The system should have the capability of recording invoice information for each bindery shipment. (D)

6.7 HOLDINGS/UNION LISTING (See also sections 5.7 and 7.3)

6.7.1 The system shall have the capability of displaying holdings in detailed and summary form.

6.7.1.1 Provision shall be made for NISO standards for detailed and summary holdings. (B)

6.7.1.2 Detailed holdings information for individual volumes in monographic series, regardless of how the series is handled within the library, shall be provided. (B)

6.7.1.3 Provision shall be made for numbered holdings. (B)

6.7.1.4 Provision shall be made for unnumbered holdings (which may be author/title listings). (B)

6.7.1.5 Seven hierarchical levels of holdings enumeration shall be provided. (B)

6.7.1.6 The ability to derive summary holdings automatically from detailed holdings shall be provided. (B)

6.7.1.7 Indication of location and availability of specific issues shall be provided. (B)

6.7.2 The system shall have the capability of uploading and downloading holdings information.

6.7.2.1 The ability to download CSU's OCLC local data records shall be provided. (B)

6.7.2.2 The ability to upload summary holdings to OCLC's union list shall be provided. (B)

6.7.2.3 The ability to batch load or update immediately at the library's choice shall be provided. (B)

6.7.2.4 The ability to upload CSU's holdings online to other union lists, such as CAMLS, should be provided. (D)

6.9.3 REPORTS

6.9.3.1 The system shall provide the ability to produce lists including, but not limited to: (B)

6.9.3.1.1 Lists of standing orders and subscriptions by fund number. (B)

6.9.3.1.2 Lists of standing orders and subscriptions by vendor name or number. (B)

6.9.3.1.3 Lists of issues missing from the collection. (B)

6.9.3.1.4 Serials Holdings List to include, but not be limited to, the following information: (B)

6.9.3.1.4.1 Cataloging entry

6.9.3.1.4.2 Cross reference entries

6.9.3.1.4.3 Holdings enumeration

6.9.3.1.4.4 Holdings chronology

6.9.3.1.4.5 Locations

6.9.3.1.4.6 Subject codes

6.9.3.1.4.7 Price

6.9.3.1.4.8 Acquisitions codes

7 - ONLINE PUBLIC ACCESS CATALOG

7.1 ACCESS POINTS

7.1.0 SPECIFIC ENTRY POINTS

7.1.1 The subsystem shall provide for the access points listed in section 1.1. (B)

7.1.2 The subsystem shall provide for these additional access points:

7.1.2.1 Part of an Author's name (B)

7.1.2.2 LC classification number (B)

7.1.2.3 Bar code printed on publication (B)

7.1.2.4 Date (e.g., range and specific) (B)

7.1.2.5 Medium (e.g., book, serial, etc.) (B)

7.1.2.6 Location (B)

7.1.2.7 Language (B)

7.1.2.8 Format (e.g., fiche, film, etc.) (B)

7.1.2.9 Illustrator (B)

7.1.2.10 Descriptive elements (e.g., ill., bibliography, tables) (D)

7.1.2.11 Publisher (B)

7.1.2.12 Geographic entity (D)

7.1.2.13 Analytics (e.g., book of essays, contents notes) (D)

7.1.3.0 SEARCHING OF FIELDS

7.1.3 The system shall have the capability of accessing bibliographic information by all fields of the MARC records. (B)

7.1.3.1 The system shall include the possibility of later indexing fields not orginally chosen for indexing. (B)

7.1.3.2 The system shall have the capability of combining access points. (B)

7.1.3.3 The system shall have the capabilities so one doesn't have to limit access points so that the system won't go down or reduce response time. (B)

7.1.3.4 The system shall have the ability to qualify by all indexable fields. (B)

7.1.3.5 The system shall have the ability to search all fixed fields separately. (B)

7.1.3.6 The system shall provide keyword searching on: (B)

7.1.3.6.1 Titles

7.1.3.6.2 Series

7.1.3.6.3 Subjects

7.1.3.6.4 Corporate names

7.1.3.6.5 Conference names

7.1.3.6.6 Contents notes

7.1.4.0 BIBLIOGRAPHIC CONTROL

7.1.4.1 The system shall provide for cross references, including "see" references and "see also" references. (B)

7.1.4.2 The system shall provide an authority file, including a subject thesaurus, which will be defined and easily modifiable by the library. (B)

7.2 SEARCH FORMULATION AND SEARCH FEATURES

7.2.0 The system shall allow various levels of search formulations and various search features as specified by the library.

7.2.1 SEARCH FEATURES

7.2.1.1 The system shall allow the user to return to an original (previous) screen without starting the search over. (B)

7.2.1.2 The system should allow a command to be seen and changed until the next command is processed. (D)

7.2.1.3 The system shall display the number of citations received at the beginning of a search. (B)

7.2.1.4 The system shall preserve search results in named or numbered sets which are then accessible to the user for search refinement. (B)

7.2.1.5 The system shall provide Boolean operators AND, OR, and NOT as searching features for all indexed fields. (B)

7.2.1.6 The system should allow Boolean operators to be used in the entire bibliographic record with qualifiers indicating which indexed field is to be searched (example: search CARL SAGEN (author OR subject). (D)

7.2.1.7 The user shall have the capability of ending a search and beginning a new one at any point. (B)

7.2.1.8 The system shall allow a new search without going back to the menu. (B)

7.2.2 SEARCH FORMULATIONS

7.2.2.1 Search commands shall be simple, clear, mnemonic, and alterable by the library. (B)

7.2.2.2 The system shall not require use of derived or algorithmic search keys, although they may be available. (B)

7.2.2.3 The system shall permit implicit right hand truncation (rootwords). (B)

7.2.2.4 The system shall permit internal (imbedded) character variations (e.g., wom#n for WOMEN and WOMAN) (B)

7.2.2.5 The system should permit searching of adjacent words as well as single words. (D)

7.2.2.6 The system shall ignore or forgive variations in: (B)

7.2.2.6.1 Punctuation

7.2.2.6.2 Spacing

7.2.2.6.3 Use of upper and lower case letters

7.2.2.6.4 Special characters such as diacritics

7.2.2.7 The system should allow a patron to type ahead. (D)

7.2.2.8 Searchers should be able to construct compound commands whereby several functions can be executed in the order in which they are input (stacked commands). (D)

7.2.3 LIMITING SEARCHES

7.2.3.1 The user shall have the ability to set default values at the beginning of a search session (e.g., search type, fields to be searched, display formats, types of materials). (B)

7.2.3.2 The system shall have the ability to limit access by location or format, (e.g., REF, phonodisc). (B)

7.2.3.3 The system shall default to searching the entire bibliographic database, but at the user's option may be set to search only a specified subset (e.g., Reference, circulating collection, date range). (B)

7.2.3.3.1 The user shall thus be able to limit a search both before and during the search without having to restart the search. (B)

7.2.3.4 When a search retrieves more than a library-specified number of citations, the user shall be offered alternatives (with full instructions) including, but not limited to: (B)

7.2.3.4.1 Continue the search

7.2.3.4.2 Preserve some of the successful search results

7.2.3.4.3 Narrow the search process

7.2.3.4.4 Terminate the search and begin a new search

7.2.3.5 The system should allow searching by specific piece information (example: *Journal of Irreproducible Results*, Vol. 31, no.3). (D)

7.2.3.6 The library shall be able to set specified limits designed to prohibit searches which are too complex and time consuming. (B)

7.2.3.6.1 The system shall have a built-in stoplist (defined and easily modifiable by the library) of terms which are not searchable. (B)

7.2.3.6.2 The library should be able to restrict the use of Boolean functions at certain terminals and by certain types of users. (D)

7.3 HOLDINGS

7.3.0 The system shall be able to display item holdings along with library-specified, bibliographic information identifying the bibliographic entity held. (B)

7.3.1 HOLDINGS INFORMATION

7.3.1.1 The system shall allow for the display or suppression of holdings information on an item-by-item and title-by-title basis, and categorically by status and location. (B)

7.3.1.2 The library shall be able to choose the holdings information which will appear in the online public access catalog subsystem. This information shall include, but not be limited to:

7.3.1.2.1 Chronology and enumeration (B)

7.3.1.2.2 Permanent location and sublocation (B)

7.3.1.2.3 Floor location (B)

7.3.1.2.4 Order status (B)

7.3.1.2.5 Circulation status (B)

7.3.1.2.6 Copy-specific patron status (B)

7.3.1.2.7 Temporary location (B)

7.3.1.2.8 Bindery status (B)

7.3.1.2.9 Retention statement (B)

7.3.1.2.10 Dates of transactions (B)

7.3.1.3 The library shall be able to choose the information which will not display in the online public access catalog subsystem. This information shall include but not be limited to:

7.3.1.3.1 Specific patron information (i.e., name, social security number, address) (B)

7.3.1.3.2 Item numbers (B)

7.3.1.3.3 Missing and lost items (B)

7.3.2 HOLDINGS LEVELS

7.3.2.0 The system shall allow displays of different levels of holdings (e.g., summary of holdings, item specific, detailed holdings). (B)

7.3.2.1 The system shall display both summary and detailed serials holdings. (B)

7.3.2.2 The system should be able to display item control information in complete words and in abbreviations (e.g., tome = t., number = no.). (D)

7.3.2.3 Links to previous and later serials titles held shall be displayed with item holdings information. (B)

7.3.2.4 The system shall display all holdings of a monographic series by title and by number if applicable. (B)

7.8.1 USER ASSISTANCE

7.8.1.0 The system shall provide library information displays ("news messages") formulated by the library. (B)

7.8.1.1 FOR THE NOVICE:

7.8.1.1.0 The system shall provide efficient assistance for the novice.

7.8.1.1.1 The system shall be "user friendly" for the novice, normally not requiring training or staff assistance to use. (B)

7.8.1.1.2 The system shall provide the user at the beginning of a search with a brief opening message describing the system and providing a menu of search options. (B)

7.8.1.1.3 Texts of message and menu shall be modifiable by the library. (B)

7.8.1.1.4 The system shall provide instructions which can be modified by the library. (B)

7.8.1.1.5 The system shall provide a system of prompts which can be adapted locally. (B)

7.8.1.1.6 The system shall provide online help features that can be accessed at any point in the search. (B)

7.8.1.1.7 The system shall allow the user to continue a search which has been interrupted for online help. (B)

7.8.1.1.8 The system shall provide user information on current operations (e.g., "processing your search"). (B)

7.8.1.1.9 The system should provide an explanation and suggest options when user has made an invalid request or when a search yields no results. (D)

7.8.1.1.10 The system shall provide an online tutorial or instruction module for self-instruction which can be edited locally. (B)

7.8.1.2 FOR THE EXPERIENCED USER:

7.8.1.2.0 The system shall be convenient for the experienced user.

7.8.1.2.1 The system shall allow experienced users to disregard the opening message and menu. (B)

7.8.1.2.2 The system shall allow experienced users to disregard the tutorial mode. (B)

7.8.1.2.3 The system shall provide a command driven mode. (B)

7.8.2 **OPERATIONS CONTROLS**

7.8.2.0 The system will have operational controls which shall provide for efficient, adjustable, and easy use.

7.8.2.1 LOGON / LOGOFF

7.8.2.1.1 The system shall provide a simple logon/entry mechanism for dial-up users. (B)

7.8.2.1.2 The terminals in the library shall not require a patron logon. (B)

7.8.2.1.3 System logoff shall be an authorized function. (B)

7.8.2.2 PROCESSING CAPABILITIES

7.8.2.2.1 The system shall provide easily understood and executed editing techniques (e.g., erasing or back spacing). (B)

7.8.2.2.2 The system shall support a break key or similar feature which will allow users to interrupt long searches. (B)

7.8.2.2.3 The system shall not allow records to be altered by public access terminal users. (B)

7.8.2.2.4 The system shall allow the inexperienced user to return to the menu. (B)

7.8.2.2.5 The system shall allow library staff to modify commands. (B)

7.8.2.2.6 The system shall automatically clear and return to the beginning of the search process when a terminal has been inactive for a library-specified length of time. (B)

7.8.2.3 EXTENDED LINKAGE

7.8.2.3.1 The system should allow references to non-cataloged materials (e.g., "For additional materials on this subject, use the slide collection, the Reference Pamphlet File"). (D)

7.8.2.3.2 The system should have the capability to access directly commercial search services online databases (e.g., DIALOG, BRS, The Source) as authorized by reference librarians. (D)

7.8.2.3.3 The system shall permit browsing for both bibliographic and authority file records. (B)

7.8.2.3.4 Shelflist searching shall be available, in brief and full display options. (B)

7.8.2.3.5 The system should provide a link between a publication and the publisher's name and address. (D)

7.8.3 SCREEN DISPLAY

7.8.3.1 DISPLAY OPTIONS

7.8.3.1.1 The system shall provide a screen display that is adaptable to various user needs. (B)

7.8.3.1.2 The system shall provide a variety of screen displays with successively more detailed information. (B)

7.8.3.1.3 The system shall accomodate both abbreviated and complete MARC record displays. (B)

7.8.3.1.4 The system should allow the library to designate the sequence of data elements displayed. (D)

7.8.3.1.5 The system shall allow truncated display options. (B)

7.8.3.1.6 The system shall allow a user to have search results sorted and displayed by: (B)

- 7.8.3.1.6.1 Chronological and reverse chronological order of date of publication
- 7.8.3.1.6.2 Author or main entry
- 7.8.3.1.6.3 Title
- 7.8.3.1.6.4 Call number

7.8.3.1.7 The system shall allow the library to alter the public display screen. (B)

7.8.3.1.8 The system shall allow for library-defined and modifiable labels for fields on public screen displays (e.g. "TITLE" instead of "TI"). (B)

7.8.3.2 PHYSICAL FEATURES

7.8.3.2.1 The system shall provide a screen that is easy to read. (B)

7.8.3.2.2 The system shall provide large-size screens and large lettering. (B)

7.9 OUTPUT

7.9.3 STATISTICAL REPORTS AND BIBLIOGRAPHIES

7.9.3.1 STATISTICAL REPORTS

7.9.3.1.0 The system shall provide the on-demand ability to record use patterns on each terminal, and to provide various statistical reports, including but not limited to: (B)

- 7.9.3.1.1 Total number of searches
- 7.9.3.1.2 Total number of searches by access point
- 7.9.3.1.3 Number of searches by public
- 7.9.3.1.4 Number of searches by staff
- 7.9.3.1.5 Response time by type of search
- 7.9.3.1.6 Number of users

7.9.3.1.7 Number of uses of terminals

7.9.3.1.8 Length and time of searches

7.9.3.1.9 Average number of items retrieved

7.9.3.1.10 Type of search (i.e., author, title, subject)

7.9.3.1.11 Count of citations by call number

7.9.3.1.12 Items owned but not available

7.9.3.1.13 Number of items in collection in each LC classification number

7.9.3.1.14 Number of times item is requested (retrieved citation)

7.9.3.2 BIBLIOGRAPHIES

7.9.3.2.0 The system shall provide the ability to produce lists including but not limited to: (B)

7.9.3.2.1 Subject fields

7.9.3.2.2 LC classification

7.9.3.2.3 Author

7.9.3.2.4 Title

7.9.7 PRINTING

7.9.7.0 The system shall provide hard copy printing with a variety of printing options.

7.9.7.1 The system shall be able to save list of records to be printed (save sets, preserve searches), or print each one as you go. (B)

7.9.7.2 The system shall print output in specified-style formats (i.e., for bibliographies the system shall print citations in order by call number, or alphabetic by author). (B)

7.9.7.3 The system shall be able to route printing to another printer (to a high speed system printer for longer searches, for example). (B)

7.9.7.4 It shall be possible to have printers in public areas with means to limit printing. (B)

7.9.7.5 The system shall provide the possibility of printing longer bibliographies offline. (B)

8 - CIRCULATION

8.1 ACCESS POINTS

8.1.1 The subsystem shall provide the access points listed in section 1.1. (B)

8.1.2 The subsystem shall provide these additional access points:

8.1.2.1 Access to the system shall be provided through patron ID number. (B)

8.1.2.2 Patron information shall be obtained by magnetic stripes. (B)

8.2 CIRCULATION DESK ACTIVITIES

8.2.1 CHECKOUT

8.2.1.0 The system shall have the capability of linking item and patron records.

8.2.1.1 The patron shall be checked against the sanction file for delinquent borrowers. (B)

8.2.1.2 The system shall block any transaction to any patron on the sanction file. (B)

8.2.1.3 The materials shall be checked against the hold file. (B)

8.2.1.4 The system shall alert the operator that the material is on hold. (B)

8.2.1.5 If materials are queued on the hold file, they shall be checked out for a shorter loan period. (B)

8.2.1.6 The system shall maintain a record of the number of times a patron has renewed a given item. (B)

8.2.1.7 The system shall block a patron from renewing an item after 3 renewals. (B)

8.2.1.8 The system shall be able to produce a printed list by call number of the materials checked out by a patron. (B)

8.2.2 The system shall allow an annual calendar to be input, from which all due dates will be calculated. (B)

8.2.2.1 Loan periods for materials shall be determined by type of borrower. (B)

8.2.2.2 Loan periods shall be determined by type and status of materials. (B)

8.2.2.3 Date due slips shall be printed by the system. (B)

8.2.3 The system shall provide assistance to the operator.

8.2.3.1 The system shall provide auditory signals to the operator when proper transmission of data is not occurring. (B)

8.2.3.2 The system shall require the operator to complete the transaction. (B)

8.2.3.3 If the transaction is not completed within 25 seconds, the system shall automatically signal the operator. (B)

8.2.3.4 The system shall provide a training mode. (B)

8.2.3.5 The training mode should be able to be entered and exited as needed. (D)

8.2.4 DISCHARGE

8.2.4.0 The system shall have the capacity of unlinking the borrower from the item automatically.

8.2.4.1 The system shall retain the link between the borrower and the item, if the patron is liable for fines. (B)

8.2.4.2 The system shall update both the item and patron files immediately. (B)

8.2.4.3 The system shall allow materials to be discharged manually. (B)

8.2.4.4 The system shall provide auditory signals to the operator when proper transmission of data is not occurring. (B)

8.2.4.5 The system shall flag materials at discharge for exceptions. (B)

8.2.4.5.1 These exceptions are: Holds, missing, lost, claims returned, and other exceptions as required. (B)

8.2.4.5.2 Notices shall be printed automatically when materials are flagged at discharge as an exception. (B)

8.2.4.6 A receipt for returned materials shall be printed by the system. (B)

8.2.5 AUTOMATED FINE RECEIPT

8.2.5.0 The system shall have the capability of calculating the fine and displaying its calculations.

8.2.5.1 The operator of the system shall have the ability to override the calculated fine. (B)

8.2.5.2 The system shall automatically total fines within the transaction. (B)

8.2.5.3 The system shall produce a report of daily cash transactions. (B)

8.2.5.4 The system shall generate a fine receipt when the fine is paid. (B)

8.2.6 AUTOMATED PATRON LIABILITY FOR FINES

8.2.6.0 The system shall have the capability of flagging material on which a fine is due.

8.2.6.1 The system shall calculate the fine. (B)

8.2.6.2 The operator at the time of billing shall have the ability to override the calculated fine. (B)

8.2.6.3 A printout of this material shall be produced weekly for billing. (B)

8.2.6.4 The printout shall include patron's name, address, ID number, and calculated fine. (B)

8.3 HOLDS

8.3.0 The system shall have the capability of trapping materials which the library needs for specific, stated reasons.

8.3.1 The system shall allow the operator to trap materials by typing in:

8.3.1.1 The call number of the item, or (B)

8.3.1.2 The item number of the item (B)

8.3.2 The system shall process charges to the search category as inactive charges. (B)

8.3.2.1 The inactive charges to the search category shall not affect the active charge against the patron. (B)

8.3.3 Searches shall be placed on material which cannot be located, including but not limited to:

8.3.3.1 Materials which cannot be found by a patron. (B)

8.3.3.2 Materials which a patron claims to have returned. (B)

8.3.3.3 Materials which I.L.L. cannot locate. (B)

8.3.3.4 Materials which the Verification Unit cannot locate. (B)

8.3.4 The system shall inform the operator at renewal and at discharge that the material is needed by the library. (B)

8.3.4.1 The system shall provide a visible signal to the operator that the material is needed by the library. (B)

8.3.4.2 The system shall inform the operator why the material is in the search category. (B)

8.3.4.3 The system shall allow the operator to set an expiration date for the search. (B)

8.3.5 The system shall generate reports to support searches including, but not limited to:

8.3.5.1 A printout of search material in call number order shall be produced weekly. (B)

8.3.5.2 Notices shall be printed to inform the operator of transactions against items in the search category. (B)

8.3.5.3 If the item is charged to a patron, a notice shall be sent to that patron when the item is recovered. (B)

8.3.5.4 The system shall allow the operator to omit the patron notice. (B)

8.3.5.5 A printout of expired searches shall be produced weekly. (B)

8.3.6 The system shall process a charge to the New Books Shelf as an active charge. (B)

8.3.6.1 The active charge to the New Books Shelf shall block any other transaction on the item. (B)

8.3.6.2 The system shall accept a hold for an item on the New Books Shelf. (B)

8.3.7 The system shall process a charge to the Hold Shelf as an active charge. (B)

8.3.7.1 Notices shall be printed to alert the requester when materials are available. (B)

8.3.7.2 The system shall allow the operator to omit the patron notice. (B)

8.3.7.3 The printout of Hold materials in call number order shall be produced weekly to expedite removal of expired holds. (B)

8.3.7.4 Materials charged to the New Books Shelf shall be included in the printout of materials on the Hold Shelf. (B)

8.3.8 RECALLS

8.3.8.0 The system shall have the capability of placing recalls on materials which are already checked out.

8.3.8.1 The system shall have the capacity to produce missing and lost lists to be used to generate replacement orders. (B)

8.3.8.2 The system shall prevent recalls for various types of borrowers. (B)

8.3.8.3 The system shall allow only the operator to set the expiration date for the recall. (B)

8.3.8.4 The system shall block borrowing privileges automatically for a patron who has not returned materials on which a recall has been placed. (B)

8.3.8.5 The system shall be able to adjust the loan period for materials in demand. (B)

8.3.8.6 The system shall have the ability to place recalls but not to activate the charge until a specified date. (B)

8.3.8.7 The system shall process charges to recall as inactive charges. (B)

8.3.8.7.1 These inactive charges to recall shall not affect the active charges against the patron. (B)

8.3.8.8 The system shall automatically assess the fine for a late return of a recall item. (B)

8.3.8.9 The system shall allow the operator to override the calculated recall fine. (B)

8.3.8.10 The system shall produce a recall notice informing the patron that an item checked out must be returned for another patron's use. (B)

8.3.8.11 Notices shall be printed for the requester if the recall cannot be satisfied within a specified time frame. (B)

8.3.8.12 The system shall allow the operator to omit the patron notice. (B)

8.4 BORROWER REGISTRATION

8.4.0 The system shall have the capability of allowing the registration of borrowers not affiliated with the University.

8.4.1 This registration of borrowers shall interface with the University Patron Database. (B)

8.4.2 Data gathered through the University Patron Database shall be used whenever patron data elements are needed. (B)

8.4.3 The system shall be compatible with the University Database. (B)

8.4.4 A flag shall display when a patron registers if there is a sanction pending. (B)

8.4.5 Statistics regarding non-University borrowers and their borrowing patterns shall be readily available. (B)

8.5 OVERDUES

8.5.1 OVERDUE NOTICES

8.5.1.0 The system shall produce overdue notices at specified points after the due date.

8.5.1.1 The system shall permit the schedule of overdue notices to be different for different classes of materials. (B)

8.5.1.2 The system shall permit the wording of overdue notices to be different for different classes of borrowers. (B)

8.5.1.3 The overdue notices shall include the following data elements: (B)

8.5.1.3.1 Call number

8.5.1.3.2 Item number

8.5.1.3.3 Title

8.5.1.3.4 Author

8.5.1.3.5 Date due

8.5.1.3.6 Indicator if in special areas

8.5.1.4 The system shall provide a listing of patron holdings on request.

8.5.1.4.1 The list of patron holdings shall include both active and inactive charges. (B)

8.5.1.4.2 The system shall provide that the list of patron holdings be printed upon request by the operator. (B)

8.5.1.4.3 The system shall provide a weekly printout of all materials overdue six weeks or more. (B)

8.5.2 CLAIMS RETURNED

8.5.2.0 The system shall have the capability of trapping materials which a patron claims to have returned.

8.5.2.1 The system shall provide printed notification to the operator when "claims returned" materials have been trapped. (B)

8.5.2.2 The system shall provide printed notification to the patron when "claims returned" materials have been trapped. (B)

8.5.2.3 The system shall provide printed notification to the patron when "claims returned" materials have not been trapped within a specified period. (B)

8.5.2.4 The system shall permit the operator to override the production of any of the patron notices. (B)

8.5.3 BILLING UNPAID FINES

8.5.3.0 The system shall maintain a file of charges to the "unpaid fine" function.

8.5.3.1 The file of charges to the "unpaid fine" function shall be accessible through the borrower number. (B)

8.5.3.2 The system shall automatically calculate the amount of the fines. (B)

8.5.3.3 The system shall be capable of calculating different fine schedules for different classes of materials. (B)

8.5.3.4 Each charge in the "unpaid fine" file shall include the following data elements: (B)

8.5.3.4.1 Call number

8.5.3.4.2 Item number

8.5.3.4.3 Title

8.5.3.4.4 Author

8.5.3.4.5 Date due

8.5.3.4.6 Date returned

8.5.3.4.7 Amount of the fine

8.5.3.4.8 Indicator if in a special area

8.5.3.5 The system shall permit the operator to delete any charge in the "unpaid fine" file. (B)

8.5.3.6 The system shall enable the operator to transfer any charge in the "unpaid fine" file into the University billing system. (B)

8.5.3.7 The system shall permit the operator to override the calculated fine at the time of billing. (B)

8.5.3.8 The system shall delete automatically from the "unpaid fine" file any charge which is transferred to the University billing system. (B)

8.5.3.9 The system shall enable the operator to print a patron receipt for any charge on the "unpaid fine" file which is paid before being transferred to the University billing system. (B)

8.5.4 BILLING NON-RETURNED MATERIALS

8.5.4.0 The system shall have the capability of providing a file of charges which have passed a specified point beyond the due date.

8.5.4.1 The system shall provide that the specified point may be different for different classes of material. (B)

8.5.4.2 The system shall have the capability of entering charges for non-returned material into the University billing system. (B)

8.5.4.3 The system shall provide the actual replacement cost. (B)

8.5.4.4 The systemshall provide the cost of the materials as follows: (B)

8.5.4.4.1 The actual replacement cost if it is above a specified amount. (B)

8.5.4.4.2 Charge at least the specified minimum. (B)

8.5.4.4.3 Charge a specified default cost if the actual cost is not available. (B)

8.5.5 ACCOUNT CREDIT AND UPDATE

8.5.5.0 The system shall accept credits and updates against bills.

8.5.5.1 The system shall permit the library to notify the University Accounting Office of credits and updates through the University's online billing system. (B)

8.5.5.2 The system shall permit the University Accounting Office to notify the library of credits and updates through the University's online billing system. (B)

8.5.5.3 The system shall permit the library to request a hold on Collections procedures through the University's on line billing system. (B)

8.5.6 SANCTION FILE

8.5.6.0 The system shall flag patrons with specified liabilities for fines and/or overdue materials.

8.5.6.1 The specified liabilities shall be different for different classes of patrons. (B)

8.5.6.2 The system shall permit the operator to block a patron from future checkout of materials. (B)

8.5.6.3 The system shall permit the operator to remove the block against the patron. (B)

8.5.6.4 The system shall provide a file of patrons with specified liabilities. (B)

8.5.6.4.1 The file of patrons with specified liabilities shall indicate the liabilities. (B)

8.5.6.5 The system shall provide a file of patrons blocked from checkout of materials. (B)

8.5.6.5.1 The file of patrons blocked from checkout shall indicate the reason for the block. (B)

8.5.6.5.2 The file of patrons blocked from checkout shall indicate any change in the patron's holdings. (B)

8.6 RESERVE

8.6.1 RESERVE OVERDUES

8.6.1.1 The system shall provide an "unpaid fines" function for all overdue materials.

8.6.1.2 The system shall automatically enter all charges which have passed a specified point beyond the due date into the Overdues file.

8.6.1.3 The system shall automatically produce overdue notices at specified points after the due date.

8.7 PREPARATION OF RESERVE MATERIALS

8.7.0 The system shall provide a link between materials put on reserve and reserve lists.

8.7.1 Access to reserve lists shall be by professor, department, course number, and each item associated with that list. (B)

8.7.2 The system shall allow for one item to be on multiple lists. (B)

8.7.3 The system shall store other elements of reserve list information including, but not limited to: (B)

- 8.7.3.1 Number of students in class
- 8.7.3.2 Quarter taught
- 8.7.3.3 Date the list was received

8.7.4 The system shall allow lists to be produced by all access points. (B)

8.7.5 The system should provide the link to enable the faculty to enter electronically lists of items needed for reserve. (D)

8.7.6 The system shall provide an archiving system so lists from previous quarters can be reactivated. (B)

8.7.7 The system shall allow for reuse of a certain list from quarter to quarter. (B)

8.7.8 The system should allow a link to be made between the copyright clearance center (U.M.I.) and the reserve system. (D)

8.7.9 The reserve system shall permit the placement of holds on circulating material. (B)

- 8.7.9.1 A notice of the reserve hold shall be produced for Circulation. (B)

8.7.10 The system shall be able to produce library-designed labels for spines of books to denote locations. (B)

- 8.7.10.1 These labels should be printed showing quarter, year, department, course number, professor's name, author, and title. (D)

8.7.11 The system should be able to generate lists in call number order of items needed to be pulled from the stacks. (D)

8.7.12 Copies of the lists by course number and professor should be produced for use by patrons as a catalog. (D)

APPENDIX

DATABASE SIZE

FILE	1985	1990
ACQUISITIONS		
Vendor records	10,000	12,000
On-order/in-process file	4,000	5,000
CATALOGING		
Bibliographic records	350,000	468,000*
Volumes	663,000	788,000
Microforms	112,000	202,000
Authority file	385,000	514,800
SERIALS		
Active serials	7,000	6,400
Total serial titles	14,000	17,000
CIRCULATION		
Patron records	75,000	100,000
Reserves	39,000	39,000

* Includes 43,000 volumes from retrospective conversion.

TRANSACTION VOLUMES

FUNCTION	1985	1990
ACQUISITIONS		
New orders	7,500	7,000
Continuing orders	6,600	6,000
CATALOGING		
Bibliographic records added	16,000	15,000
Volumes added	27,000	25,000
Microforms added	19,000	19,000
SERIALS		
Check-in	68,000	64,000
Claims	1,700	1,600
Binding	5,500	5,000
ACCESS		
Reference transactions	42,000	42,000
CIRCULATION		
Loans	130,000	130,000
Current periodical loans	36,000	34,000
Reserve transactions	46,500	46,500

REQUIREMENTS FOR TERMINALS AND PERIPHERAL EQUIPMENT

LOCATION	TERMINALS	PRINTERS	SCANNERS	MAGSTRIPE	OCLC
Circulation					
Charge	2	1	2	2	
Discharge	1	1	1		
Reserve	1	1	1	1	
Overdues	1	1			
Monographs					
Acquisitions	1	1			
Fund accounting	1	1			
Cataloging	6	4	4		3
Serials					
Acquisitions	1	1			
Cataloging	1	1		1	1
Check-in	2	1	1		
Binding	1	1			
Information Services					
Reference Office	1	1			
ILL	1				1
Art	1		1	1	
Audio-Music	1		1	1	
CurrMat	1		1	1	
Film Service	1		1	1	
Periodicals	1	1	1	1	1
Archives	1				
Collection Dev	1	1			
Administration	1				
Public Access					
Ref desk	2	1	1	1	1
Ref cluster	10	5			
2nd floor	2				
3rd floor	1				
Periodicals area	3	1			

INTERFACES

INTERFACE BETWEEN CSU SYSTEMS
AND
AVAILABLE ONLINE SYSTEMS

This section has not been developed. An outline follows of the issues requiring attention before a request for proposal is prepared.

OUTLINE

I. Background

A. Description of Computer Services

1. Equipment
2. Personnel
3. Services provided
4. Plans which might affect a library system

B. Description of Rolm CBX II Telecommunications System

II. Issues

A. Equipment

1. Capacity required to support a library system
2. Location of the computer within the University
3. Dedicated vs. shared processor
4. Required number of terminals, dedicated and dial access

B. Personnel

1. New tasks required to support online library system
2. Required number of personnel to perform these tasks
3. Reporting structure within the University for personnel working on library system
4. Identification of funds to support personnel

C. Interface Between CSU Systems and the Library System

1. BELS
2. Patron data
3. PROFS
4. University ID's
5. Vendor file

D. Hardware and Software Options

1. IBM compatible software, or
2. Software run on other equipment, or
3. Vendor-supported hardware and software

E. Telecommunications

1. Access to library system in the Rolm CBX II environment
2. Access to library system from terminals wired to University mainframe
3. Dial access
4. Links with other library systems
5. Potential for links between two library systems (if an integrated system is not feasible)

RETROSPECTIVE CONVERSION

RETROSPECTIVE CONVERSION

The Retrospective Conversion Task Force completed the following work:

1) Prepared an inclusive list of library materials which are not in machine readable form. (Attachment 1)

2) Made a recommendation (approved by the Director) on the cataloging priority of materials which are not in machine readable form. (Attachment 1)

3) Planned a strategy (approved by the Director) for achieving the cataloging or conversion of materials which are not in machine readable form. (Attachment 2)

4) Prepared a timetable for cataloging or converting materials which are not in machine readable form. (Attachment 3)

5) Recommended that the Assistant Director for Access Services have responsibility for overseeing the conversion projects.

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ATTACHMENT 1

MATERIALS WHICH ARE NOT IN MACHINE-READABLE FORM

CATALOGING PRIORITY

I. Conversion projects under way.

Two groups of materials are being added to the database at present. The Task Force recommends the continuation of these conversion projects.

Government document microfiches	3,500	fiches
Retrospective periodicals	1,200	titles

II. Conversion to machine readable form is recommended.

The Task Force identified the following categories of materials which are not in machine readable form. It would be desirable to add these materials to CSU's database.

Group A

This group represents categories of materials which are mostly converted to machine readable form. For example, most phonodiscs are in our database, but the first 2,500 added to the collection are not. Most of these materials are accessible in the card catalogs and should be available in an online catalog at the onset.

Cutter disks (after weeding)	1,000	titles
Films, filmstrips, miscellaneous AV*	550	titles
Monographs processed between 1970-1971*	10,000	titles
Phonodiscs*	2,500	titles
Serials*	5,000	titles

* already cataloged, but not in machine readable form

Group B

It would be desirable to add these materials to the database at some point. For the most part, they are not in the card catalogs and it is not essential that they be available in an OPAC immediately.

CSU Music Department performance tapes	373	reels
CSU poetry readings	90	csttes
City Club tapes	821	reels
Curriculum materials	8,000	items
Early microforms*	100	titles
Ethnographic music tapes	110	items
Geological Survey maps (if done as serials)	4,500	maps
Hearings (selective)	2,500	titles
Herbert Elwell archives	250	items
Historical jazz 78's	800	items
ICPSR tapes	20	titles
Library of American Civilization*	19,000	items
Machine readable data files	10	titles
Portfolio of photographsof the World's Fair	31	items
University Archives (selective titles)	25	titles

III. Needs further consideration.

The addition of ERIC documents to the database should be considered. Machine readable records can be purchased.

ERIC documents	200,000+	fiches

IV. Conversion to machine readable form is not recommended.

Annual reports	20,000	reports
Art slides	60,000	slides
Aural comprehension cassettes	145	csttes
Cleveland Composer Guild tapes	57	reels
College catalogs	1,700	items
Congressional documents and reports	1,000	pieces
Jazz cassettes	145	csttes
Magazines used for Theatre Arts	2,000	issues
Minor special collections	250	items
Kay Halle clippings		
Lincolniana collection		
Mary Hirschfield clippings		
Miscellaneous state geological maps	500	maps
Pamphlet collection	9,000	items
Picture file (Art)	2,000	items
Poetry periodicals (scattered issues)	400	titles
Press collection	4,000,000+	pieces
Reserve reprints	2,000	items
Terminal Tower collection	1	roomful
Uncataloged cassettes	1,550	csttes
University Archives (except for selective titles)	1,100	feet

ATTACHMENT 2

STRATEGY FOR PROCESSING UNCATALOGED COLLECTIONS

Serials   Brian Ruddick will prepare a plan so that Monographs staff will assist with the conversion of periodicals and GPO fiches beginning on July 1, 1986.

CSU Music Department performance tapes, CSU poetry readings, City Club tapes, Herbert Elwell archives, and University Archives (selective titles)   Janet Mongan will coordinate a grant-writing effort so that these materials can be cataloged and made available to the community. The proposal will be ready by July, 1987.

Geological Survey Maps   George Lupone will carry out an investigation and prepare a written report concerning the treatment of these materials by July 31, 1986.

Hearings   Philip Tramdack will investigate the possibility of buying machine readable cataloging for Hearings and will prepare a written report recommending the treatment of Hearings at CSU by December 31, 1986.

Library of American Civilization   The Assistant Director for Access Services will find out when LAC will be converted under the Major Microforms Project and, at that time, will prepare a report on buying the cataloging.

Curriculum Materials   Dick Swain appointed a group to prepare a plan for the cataloging of curriculum materials by the monographs staff.

Historical jazz 78's   Janet Mongan will advise on the suitability of cataloging these. If they are to be cataloged, the conversion would begin in July, 1987.

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ATTACHMENT 3

RETROSPECTIVE CONVERSION

	1986								1987						
	May	Jne	Jly	Aug	Spt	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jne	Jly
GPO fiche	---	---	---	---	---	X									
Periodicals	---	---	---	---	---	---	---	---	---	---	---	---	---	---	X
Cutter discs									---	---	---	---	---	---	X
Films,AV,etc.	---	---	---	X											
1970-71 monos		X Get tape		Printout X	---	---	---	---	X Sample	---	---	---	---	---	Plan X
Phonodiscs	---	---	---	---	---	---	---	---	X						
Serials			---	---	---	Plan X	---	---	---	---	---	X Weed	---	---	Clear records X
Microforms				---	---	X									
Historical jazz 78's															Begin X cataloging
ICPSR				---	---	---	---	---	---	---	---	---	---	---	X
MRDF				---	---	---	---	---	---	---	---	---	---	---	X
World's Fair					X										

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PRIORITIES

Boone

PRIORITIES FOR ONLINE SYSTEM

The obsolescence of OCLC's serials control system and the age of CSU's circulation system equipment are driving factors in setting priorities for automation. OCLC's plan to discontinue its serials control subsystem in January 1988 will leave CSU without access to records for bound periodicals. Maintenance costs for our aging circulation equipment are prohibitive. Under ideal circumstances, it would be preferable to bring up an online public access catalog as our first major automation effort. But because of the serials and circulation problems, we may have to choose another strategy.

In the long run, we want to select and implement an integrated library system which includes public access, acquisitions, cataloging, serials, and circulation. It appears that procurement of such a system will not be in time to solve the serials and circulation problems. We should plan short-term serials and circulation automation projects. It is important to assure that automation developments in serials and circulation complement the eventual selection of an integrated system but do not become the compelling factors in choosing an integrated system.

Serials A serials system must be selected and in place before the demise of the OCLC serials control subsystem in January 1988. The serials system, whether stand-alone or part of a larger system, should be compatible with any integrated system which CSU might later choose. Within several years, we would migrate from the serials system to the serials component of the integrated system.

Circulation Efforts should be made through CSU's Computer Services Department to extend the life of the current circulation system. We should purchase new equipment and continue plans to bring the system online. New equipment may necessitate using bar codes instead of Hollireth cards. As with serials, circulation activities would eventually migrate from the present system to the integrated system.

Online Public Access Catalog Public access should be the first component of an integrated system to be implemented. This feature would have the most direct impact on users by improving access to the collections.

Cataloging Cataloging activities, including authority control, should be brought online simultaneously with the OPAC.

Acquisitions The present batch acquisitions system works reasonably well. At some point, the integrated system should be used for acquisitions to take advantage of an online, real-time environment.

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7/15/86

APPENDIXES

GLOSSARY

Access	Indicates either gaining control of a system or the acquisition of data from a storage device or peripheral unit.
Access Time	The time taken to retrieve information from a storage device.
Batch Processing	A method of processing data by computer which accumulates transactions and processes them as a single unit, rather than as they arise.
COM	Computer Output Microform.
Download	Transfer of data from one system to another.
Field	One or more data elements that form a logical unit.
Fixed Field	A field in a machine-readable record that is limited to a prescribed size, content, or position in a record.
Format	A predetermined arrangement of data.
Global Change	Global is used in computer terminology to mean complete. Thus, a global change means a complete change.
Interface	The connecting link between two systems.
MARC	Machine-Readable Cataloging.
Offline	Not having a direct interaction with the central processor of a computer.
Online	Refers to any use of equipment to interact directly with the central processor of a computer.
Real time	The computer response occurs at the same rate as the data input.
Scroll	Movement of the text up and down, or across.
Security	Protection against unauthorized access to the system. Protection against unwanted changes to the system.
Subfield	One subdivision of a variable field, containing information logically identifiable as a unit.
Subsystem	Subset of a system.
System	An organized set of components which interact in a regulated fashion.
Tag	An identifier of a variable field. In an OCLC/MARC bibliographic record, a tag is a three-digit code.

Template	A workform generated from an existing record, for the purpose of cloning a new record containing data from the existing record.
Upload	Transfer of data from a subsystem to the main system.
Variable Field	A field in a machine-readable record that is not limited to a prescribed size, content, or position in a record.

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